DEPARTMENT OF TRANSPORTATION AND RELATED AGENCIES APPROPRIATIONS FOR 1991

HEARINGS

BEFORE A

SUBCOMMITTEE OF THE

COMMITTEE ON APPROPRIATIONS
HOUSE OF REPRESENTATIVES

ONE HUNDRED FIRST CONGRESS

SECOND SESSION

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PART 1

1991 BUDGET JUSTIFICATIONS

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U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1991

UNITED STATES COAST GUARD

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

1991 COAST GUARD BUDGET ESTIMATES

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U. S. 'COAST GUARD
FY 1991 CONGRESSIONAL STAGE BUDGET JUSTIFICATIONS

GENERAL STATEMENT

For FY 1991, budget authority of $3,393 million is requested. In both operations and capital programs, this budget continues to emphasize funding for drug law enforcement efforts, while maintaining the traditionally strong roles in protecting and saving lives at sea, protecting the environment, and serving in the Nation's defense. For FY 1991, this budget request includes:

$2,391.4 million for Operating Expenses to operate and maintain a wide range of multipurpose vessels, aircraft, shore units and aids-to-navigation, including facilities acquired through capital investments in previous years. The total includes $30 million proposed to be funded from fuel taxes deposited in the Boat Safety account. In FY 1991, the first seven of an eventual fleet of 32 medium range recovery replacement helicopters will become opertional and require funding and staffing. Aircraft utilization will increase in FY 1991, as one of several requested initiatives to maintain and enhance Coast Guard's capacity to interdict traffic in illegal drugs. Improving and protecting the environment is the focus of several proposals. Additionally, funds are being sought to improve the working and living conditions of many older Coast Guard shore facilities.

$419.5 million to fund capital improvements, including vessel and aircraft acquisition, replacement, and rehabilitation; command, control, and communications initiatives; and construction and renovation programs at selected shore and aids-to-navigation facilities. Over $200 million is requested to continue or complete construction and modernization projects initiated in a previous year, involving major elements of Coast Guard's air arm, cutter fleets, and boats. Work on Coast Guard shore facility projects would rise approximately $15 million, or more than 20 percent, with funding for needed family housing rising more than 30 percent. And $7 million is requested to enhance the capability of the National Strike Teams to respond quickly and effectively to major environmental incidents.

$7 million to carry out the Coast Guard's environmental compliance and restoration responsibilities under Chapter 19 of Title 14 of the U.S. Code.

No new funding for Alteration of Bridges, contingent upon enactment of pending legislation to transfer the program to the Corps of Engineers, which would consolidate bridge activities in one agency. Absent this, however, under current law, $6.4 million would be required to continue alteration of two ongoing bridge projects and to begin another.

GENERAL STATEMENT (cont.)

$79 million for the Reserve Training program, to fund and train a selected reserve strength of 12,700 members, an increase of 650 over the planned FY 1990 level.

$23 million for Research, Development, Test and Evaluation, which funds the development of hardware, procedures, and systems that directly contribute to increasing the productivity of operating and regulatory programs.

$30 million for Boat Safety Grants which provide financial assistance to States for the development and implementation of a coordinated National Boating Safety Program.

$437.3 million to fund retired pay, annuities, and medical costs for military retired personnel, former lighthouse service personnel, their dependents, and survivors.

Pay increase. A request for funds for one-half of a FY 1991 military and civilian pay increase of 3.5 percent, proposed to become effective 1 January 1991, is included in this budget in the Operating Expenses ($14.5 million) and Reserve Training ($0.9 million) appropriations. The remaining 50 percent is covered in this budget by absorption.

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DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
RESOURCE SUMMARY — FINANCING

(Dollars in thousands)

APPROPRIATION	BUDGET AUTHORITY		
	1989	*1990*	*1991*
Operating Expenses...........(1)(2)	1,982,383	2,070,250	2,391,351
Acquisition, Construction, and Improvements ....(3)	435,800	444,164	419,536
Environmental Compliance and Restoration	....	....	7,000
Alteration of Bridges ....(4)	13,500	2,323	....
Retired Pay	410,800	420,800	437,300
Reserve Training	67,000	71,614	78,932
Research, Development, Test and Evaluation	18,800	20,465	23,000
Boat Safety Account	29,000	29,910	30,000
Pollution Fund	30,980	55,700	5,700
Miscellaneous Trust Fund	....	80	80
TOTAL	2,988,263	3,115,306	3,392,899

(1) Includes $30,000,000 in FY 1989, $29,910,000 in FY 1990 and $30,000,000 in FY 1991 from the Boat Safety Account.

(2) Excludes $140,000,000 funded by the Department of Defense in 1989 and 1990. Includes transfers of $60,000,000 in FY 1989, $160,000,000 in FY 1990 and $6,000,000 for LEDETS in FY 1989 from the Department of Defense. Also includes $4,500,000 transferred from Acquisition, Construction and Improvements in FY 1989.

(3) Includes $50,300,000 appropriated in the 1989 Military Construction Appropriation Act for Coast Guard shore facilites.

(4) Reflects pending legislation to transfer this function to the Corps of Engineers.

RESOURCE SUMMARY — FINANCING

(Dollars in thousands)

APPROPRIATION	PROGRAM LEVEL		
	1989	*1990*	*1991*
Operating Expenses..............(1)	2,104,490	2,210,177	2,409,120
Acquisition, Construction, and Improvements ....(2)	379,587	450,000	438,000
Environmental Compliance and Restoration	....	....	7,000
Alteration of Bridges ....(3)	15,659	3,500	....
Retired Pay	391,593	420,800	437,300
Reserve Training	66,860	71,614	78,932
Research, Development, Test and Evaluation	17,930	21,000	23,000
Boat Safety Account	29,314	29,910	30,000
Pollution Fund	35,509	44,500	15,000
Offshore Oil Pollution Fund	64	150	200
Supply Fund	77	92	92
Yard Fund	-4,226	-1,362	5,915
Miscellaneous Trust Fund	-139	132	132
TOTAL	3,036,718	3,250,513	3,444,691

(1) Includes $30,000,000 in FY 1989, $29,910,000 in FY 1990 and $30,000,000 in FY 1991 from the Boat Safety Account. For comparability purposes this table also includes $140,000,000 in FY 1989 and 1990 funded by the Department of Defense.

(2) Includes $50,300,000 appropriated in the 1989 Military Construction Appropriation Act for Coast Guard shore facilities.

(3) Reflects pending legislation to transfer this function to the Corps of Engineers.

RESOURCE SUMMARY — FINANCING

(Dollars in thousands)

APPROPRIATION	OUTLAYS		
	1989	*1990*	*1991*
Operating Expenses..............(1)	1,928,206	2,076,808	2,379,007
Acquisition, Construction, and Improvements ....(2)	335,056	373,758	405,000
Environmental Compliance and Restoration	....	....	1,000
Alteration of Bridges ....(3)	18,297	5,900	....
Retired Pay	386,198	420,800	437,300
Reserve Training	66,401	70,488	77,831
Research, Development, Test and Evaluation	18,086	17,301	22,000
Boat Safety Account	27,312	29,910	30,000
Pollution Fund	14,888	31,500	29,300
Offshore Oil Pollution Fund	85	150	200
Supply Fund	-3,201	400	400
Yard Fund	3,334	-5,962	5,000
Gift Fund	-19	80	80
Miscellaneous Trust Fund	-399	25	25
TOTAL	2,794,244	3,021,158	3,387,143

(1) Includes $30,600,000 in FY 1989, $29,910,000 in FY 1990 and $30,000,000 in FY 1991 from the Boat Safety Account.

(2) Includes outlays of $2,922,304 from the $50,300,000 appropriated in the 1989 Military Construction Act for Coast Guard shore facilities.

(3) Reflects pending legislation to transfer this function to the Corps of Engineers.

DEPARTMENT OF TRANSPORTATION — COAST GUARD
RESOURCE SUMMARY – STAFFING

DIRECT FUNDED – BY APPROPRIATION:	*POSITIONS (FULL-TIME PERMANENT)* 1989	1990	1991	*(1) FULL-TIME EQUIVALENT* 1989	1990	1991
Operating Expenses:						
Military..................	37,085	37,129	37,548	36,705	37,129	37,224
Civilian..................	4,576	4,632	4,777	4,456	4,602	4,716
Acquisition, Construction, and Improvements:						
Military..................	330	387	403	327	359	395
Civilian..................	224	230	238	195	227	231
Reserve Training:						
Military..................	599	599	599	599	599	599
Civilian..................	112	112	112	106	106	106
Research, Development, Test and Evaluation:						
Military..................	42	42	48	42	42	48
Civilian..................	71	71	78	65	70	76
Yard:						
Military..................	24	24	24	24	24	24
Civilian..................	654	654	654	608	632	632
SUBTOTAL DIRECT FUNDED:						
Military................	38,080	38,181	38,622	37,697	38,153	38,290
Civilian................	5,637	5,699	5,859	5,430	5,637	5,761
REIMBURSABLES:						
Operating Expenses:						
Military..................	131	131	131	131	131	131
Civilian..................	17	17	17	16	16	16
TOTAL – Military......	38,211	38,312	38,753	37,828	38,284	38,421
TOTAL – Civilian......	5,654	5,716	5,876	5,446	5,653	5,777

NOTE: (1) Operating Expenses includes 69 Youth Opportunity Full-time Equivalent in FY 1989 and 75 each in FY 1990 and 1991.

1989-91 COAST GUARD BUDGET SUMMARY
(dollars in thousands)

EXHIBIT I

Appropriation	Category	1989 Actual	1990 Estimate	1991 Estimate
Existing legislation: Operating expenses	Appropriation........	$1,982,383	$2,070,250	$2,391,381
	Outlays...............	$1,928,306	$2,076,808	$2,379,007
	Military Positions...	37,085	37,129	37,548
	Civilian Positions...	4,576	4,632	4,777
Acquisition, construction,1/ and improvements	Appropriation........	$ 435,000	$ 444,164	$ 419,536
	Outlays...............	$ 335,096	$ 373,758	$ 408,000
	Military Positions...	330	387	403
	Civilian Positions...	224	230	236
Environmental compliance and restoration account	Appropriation........	$ ...	$ ...	$ 7,000
	Outlays...............	$ ...	$ ...	$ 1,000
Alteration of bridges	Appropriation........	$ 13,500	$ 2,323	$ 6,353
	Outlays...............	$ 18,297	$ 5,900	$ 11,700
Retired pay	Appropriation........	$ 410,800	$ 420,800	$ 437,300
	Outlays...............	$ 386,198	$ 420,800	$ 437,300
Reserve training	Appropriation........	$ 67,000	$ 71,614	$ 78,932
	Outlays...............	$ 66,401	$ 70,488	$ 77,831
	Military Positions...	599	599	599
	Civilian Positions...	112	112	112
Research, development, test and evaluation	Appropriation........	$ 18,000	$ 20,465	$ 23,000
	Outlays...............	$ 18,086	$ 17,301	$ 22,000
	Military Positions...	42	42	48
	Civilian Positions...	71	71	78
Boat safety account	Appropriation........	$ 29,000	$ 29,910	$ 30,000
	Outlays...............	$ 27,312	$ 29,910	$ 30,000
Pollution fund (current/ permanent, special fund)	Appropriation........	$ 30,980	$ 5,700	$ 5,700
	Outlays...............	$ 14,088	$ 6,500	$ 6,500
Offshore oil pollution compensation fund (definite/ indefinite, special fund)	Appropriation........	$ ...	$ ...	$ ...
	Outlays...............	$ 85	$ 150	$ 200
Deepwater port liability fund (definite/indefinite, special fund)	Appropriation........	$ ...	$ ...	$ ...
	Outlays...............	$ ...	$ ...	$ ...
Coast Guard supply fund	Appropriation........	$ ...	$ ...	$ ...
	Outlays...............	$ -3,201	$ 400	$ 400
Coast Guard yard fund	Outlays...............	$ 3,334	$ -5,962	$ 5,000
	Military Positions...	24	24	24
	Civilian Positions...	654	654	654
Coast Guard general gift fund (permanent, indefinite)	Appropriation........	$ ...	$ 80	$ 80
	Outlays...............	$ -19	$ 80	$ 80
Miscellaneous trust revolving funds	Outlays...............	$ -399	$ 25	$ 25
Subtotal, existing legislation:	Appropriation........	$2,988,263	$3,065,306	$3,399,252
	Outlays...............	$2,794,244	$2,996,158	$3,376,043
	Military Positions...	38,080	38,181	38,622
	Civilian Positions...	5,637	5,699	5,859
Proposed Legislation: Alteration of bridges	Appropriation........	...	-$ 2,323	-$ 6,353
	Outlays...............	...	-$ 5,900	-$ 11,700
Total........................	Appropriation........	$2,988,263	$3,062,983	$3,392,899
	Outlays...............	$2,794,244	$2,990,258	$3,364,343
	Military Positions...	38,080	38,181	38,622
	Civilian Positions...	5,637	5,699	5,859

1/ Includes in 1989: $50,300,000 in budget authority and $2,922,304 in outlays for shore acilities from the DOD Military Construction Appropriation Act.

MILITARY PERSONNEL SUMMARY ALL APPROPRIATIONS — ACTIVE FORCES

Average Numbers – Full-time Equivalent *

1989	Commissioned	PHS	Warrant	Enlisted	Cadets	Total
Direct:						
Operating Expenses	5,157	162	1,311	29,239	836	36,705
Acquisition, Construction, and Improvements	165	1	55	106	. . .	327
Reserve Training	127	. . .	37	435	. . .	599
Research, Development, Test and Evaluation	24	. . .	4	14	. . .	42
Yard Fund	9	. . .	2	13	. . .	24
Subtotal	5,482	163	1,409	29,807	836	37,697
Reimbursable:						
Operating Expenses:						
Dept. of Transportation	20	. . .	. . .	20	. . .	40
Other	62	1	. . .	28	. . .	91
Subtotal	82	1	. . .	48	. . .	131
Total	5,564	164	1,409	29,855	836	37,828

1990	Commissioned	PHS	Warrant	Enlisted	Cadets	Total
Direct:						
Operating Expenses	5,220	164	1,325	29,575	845	37,129
Acquisition, Construction, and Improvements	182	1	60	116	. . .	359
Reserve Training	127	. . .	37	435	. . .	599
Research, Development, Test and Evaluation	24	. . .	4	14	. . .	42
Yard Fund	9	. . .	2	13	. . .	24
Subtotal	5,562	165	1,428	30,153	845	38,153
Reimbursable:						
Operating Expenses:						
Dept. of Transportation	20	. . .	. . .	20	. . .	40
Other	62	1	. . .	28	. . .	91
Subtotal	82	1	. . .	48	. . .	131
Total	5,644	166	1,428	30,201	845	38,284

MILITARY PERSONNEL SUMMARY ALL APPROPRIATIONS — ACTIVE FORCES
Average Numbers – Full-time Equivalent (Con't) *

1991	Commissioned	PHS	Warrant	Enlisted	Cadets	Total
Direct:						
Operating Expenses........	5,243	163	1,320	29,660	838	37,224
Acquisition, Construction, and Improvements.......	199	1	66	129	. . .	395
Reserve Training...........	127	. . .	37	435	. . .	599
Research, Development, Test and Evaluation.....	27	. . .	5	16	. . .	48
Yard Fund..................	9	. . .	2	13	. . .	24
Subtotal..............	5,605	164	1,430	30,253	838	38,290
Reimbursable:						
Operating Expenses:						
Dept. of Transportation.	20	. . .	. . .	20	. . .	40
Other.......................	62	1	. . .	28	. . .	91
Subtotal..............	82	1	. . .	48	. . .	131
Total..................	5,687	165	1,430	30,301	838	38,421

* *FTE in some categories have increased due to a different (more improved) method used in calculating the distribution of FTE.*

MILITARY PERSONNEL SUMMARY ALL APPROPRIATIONS — ACTIVE FORCES

*Year-End Numbers – Full-time Permanent **

1989	Commissioned	PHS	Warrant	Enlisted	Cadets	Total
Direct:						
Operating Expenses........	5,210	164	1,324	29,542	845	37,085
Acquisition, Construction, and Improvements.......	166	1	56	107	. . .	330
Reserve Training...........	128	. . .	37	434	. . .	599
Research, Development, Test and Evaluation.....	24	. . .	4	14	. . .	42
Yard Fund..................	9	. . .	2	13	. . .	24
Subtotal..............	5,537	165	1,423	30,110	845	38,080
Reimbursable:						
Operating Expenses:						
Dept. of Transportation.	20	. . .	. . .	20	. . .	40
Other.......................	62	1	. . .	28	. . .	91
Subtotal..............	82	1	. . .	48	. . .	131
Total..................	5,619	166	1,423	30,158	845	38,211

1990	Commissioned	PHS	Warrant	Enlisted	Cadets	Total
Direct:						
Operating Expenses........	5,220	164	1,325	29,575	845	37,129
Acquisition, Construction, and Improvements.......	196	1	65	125	. . .	387
Reserve Training...........	127	. . .	37	435	. . .	599
Research, Development, Test and Evaluation.....	24	. . .	4	14	. . .	42
Yard Fund..................	9	. . .	2	13	. . .	24
Subtotal..............	5,576	165	1,433	30,162	845	38,181
Reimbursable:						
Operating Expenses:						
Dept. of Transportation.	20	. . .	. . .	20	. . .	40
Other.......................	62	1	. . .	28	. . .	91
Subtotal..............	82	1	. . .	48	. . .	131
Total..................	5,658	166	1,433	30,210	845	38,312

MILITARY PERSONNEL SUMMARY ALL APPROPRIATIONS — ACTIVE FORCES

Year-End Numbers - Full-time Permanent (Con't) *

1991	Commissioned	PHS	Warrant	Enlisted	Cadets	Total
Direct:						
Operating Expenses........	5,290	164	1,331	29,918	845	37,548
Acquisition, Construction, and Improvements.......	203	1	68	131	. . .	403
Reserve Training...........	127	. . .	37	435	. . .	599
Research, Development, Test and Evaluation.....	27	. . .	5	16	. . .	48
Yard Fund..................	9	. . .	2	13	. . .	24
Subtotal..............	5,656	165	1,443	30,513	845	38,622
Reimbursable:						
Operating Expenses:						
Dept. of Transportation.	20	. . .	. . .	20	. . .	40
Other........................	62	1	. . .	28	. . .	91
Subtotal..............	82	1	. . .	48	. . .	131
Total..................	5,738	166	1,443	30,561	845	38,753

* *FTP in some categories have increased due to a different (more improved) method used in calculating the distribution of FTP.*

FY 1991
WORKING CAPITAL FUND

Costs of services to be provided by the Office of the Secretary Working Capital Fund in 1991 are estimated to be $30,387,000.

FY 1991

CONSULTING SERVICES

The Coast Guard's FY 1991 request contains an estimated $2,200,000 for advisory and assistance services, as defined in the Office of Management and Budget's (OMB) Circular A-120 dated January 4, 1988. The **Operating Expenses** appropriation request includes an estimate of $1,700,000 for consulting contracts for technology-related assistance, specialized engineering support services, and extraordinary maintenance type services for major systems acquisitions. An example of these services is the planning and development of the new computer center at Martinsburg, West Virginia. The **Acquisition, Construction, and Improvements** appropriation contains an estimate of $500,000 for studies and analyses relating to the purchase of a Buoy Tender.

FY 1991

COMPUTER SYSTEMS SECURITY

For FY 1991, no discreet funding items are being requested in this budget to implement computer systems security measures, as defined by OMB Circular A-130.

OPERATING EXPENSES

For necessary expenses for the operation and maintenance of the Coast Guard, not otherwise provided for; purchase of not to exceed eight passenger motor vehicles for replacement only; payments pursuant to section 156 of Public Law 97-377, as amended (42 U.S.C. 402 note), and section 229(b) of the Social Security Act (42 U.S.C. 429(b)); and recreation and welfare; [$2,252,000,000 is authorized to be appropriated, derived by transfer, or otherwise provided in "in kind" commodities and services for Coast Guard operating expenses in fiscal year 1990; of which $1,952,000,000 is hereby appropriated] *$2,391,351,000* of which $30,000,000 shall be expended from the Boat Safety Account, notwithstanding any other provision of law [and of which $25,000,000 shall remain available for obligation until September 30, 1991: *Provided*, That of the funds provided for operating expenses for fiscal year 1990, in this or any other Act, not less than $567,000,000 shall be available for drug enforcement activities and not less than $168,467,000 shall be available for environmental protection activities]: *Provided* [*further*], That the number of aircraft on hand at any one time shall not exceed two hundred and [fourteen] *twenty-two*, exclusive of planes and parts stored to meet future attrition: *Provided further*, That none of the funds appropriated in this or any other Act shall be available for pay or administrative expenses in connection with shipping commissioners in the United States: *Provided further*, That none of the funds provided in this Act shall be available for expenses incurred for yacht documentation under 46 U.S.C. 12109, except to the extent fees are collected from yacht owners and credited to this appropriation[: *Provided further*, That none of the funds appropriated under this Act shall be used by the Secretary of Transportation to close any Coast Guard search and rescue stations, or to close or decommission any unit of the United States Coast Guard unless such closure or decommissioning was provided for in the Budget of the United States, and its supporting documentation, and was agreed to by the Congress in this Act, as provided for in its legislative history, including Committee reports]. *(Department of Transportation and Related Agencies Appropriations Act, 1990.)*

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES
Program and Financing (in thousands of dollars)

Identification code: *69-0201-0-1-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Program by activities:			
	Direct Program:			
00.01	Search and rescue	405,251	422,257	494,627
00.02	Aids to navigation	392,024	399,982	463,271
00.03	Marine safety	113,345	118,929	140,413
00.04	Marine environmental protection	127,308	144,691	181,178
00.05	Enforcement of laws and treaties	625,330	676,773	798,855
00.06	Ice operations	73,665	74,573	86,565
00.07	Defense readiness	100,118	99,752	107,145
00.08	Headquarters administration	127,449	133,293	137,066
00.91	Total direct program	1,964,490	2,070,250	2,409,120
01.01	Reimbursable program	73,531	47,373	47,867
10.00	Total obligations	2,038,021	2,117,623	2,456,987
	Financing:			
	Offsetting collections from:			
11.00	Federal funds	-42,029	-40,700	-40,880
11.00	Federal funds: Drug enforcement	-614	-830	-669
13.00	Trust Funds	-30,600	-30,508	-30,600
14.00	Non-Federal sources	-30,288	-5,318	-5,718
21.40	Unobligated balance available, start of year	....	-17,769	-17,769
24.40	Unobligated balance available, end of year	17,769	17,769	....
25.00	Unobligated balance lapsing	124	....	....
27.00	Reduction pursuant to P.L. 99-177	....	73	....
39.00	Budget authority	1,952,383	2,040,340	2,361,351

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DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES

Program and Financing (in thousands of dollars) p.2

Identification code: *69–0201–0–1–403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Budget Authority:			
40.00	Appropriation	1,881,883	1,922,000	2,361,351
40.00	Reduction pursuant to P.L. 101–164	....	–5,766	....
40.00	Reduction pursuant to P.L. 99–177	....	–28,416	....
41.00	Transferred to other accounts	....	–7,478	....
42.00	Transferred from other accounts	70,500	160,000	....
43.00	Appropriation (adjusted)	1,952,383	2,040,340	2,361,351
	Relation of obligations to outlays:			
71.00	Obligations incurred net	1,934,490	2,040,267	2,379,120
72.40	Obligated balance, start of year	463,127	490,950	484,319
74.40	Obligated balance, end of year	–490,950	–484,319	–514,432
77.00	Adjustments in expired accounts	–9,062	....	....
90.00	Outlays	1,897,606	2,046,898	2,349,007

COAST GUARD -- Operating Expenses

PROGRAM AND PERFORMANCE

Funds for operating expenses represent more than two-thirds of the total Coast Guard program level. To carry out its unique duties as a peacetime operating agency and one of the military services, the Coast Guard employs multipurpose vessels, aircraft and shore units, strategically located along the coasts and inland waterways of the United States and in selected areas overseas. In 1991, the search and rescue, enforcement of laws and treaties, and aids to navigation programs will continue to account for the major portion of the budget. The 1991 request reflects a continued drug interdiction emphasis, while at the same time an increased effort to protect the environment.

The request provides $140 million in lieu of "services in kind" to the Coast Guard for services and supplies funded in FY 1990 by the Department of Defense.

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES

Object Classification (in thousands of dollars)

Identification code: *69-0201-0-1-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Direct obligations:			
	Personnel compensation:			
11.1	Full-time permanent	130,589	131,489	136,461
11.3	Other than full-time permanent	6,885	6,932	7,188
11.5	Other personnel compensation	5,713	5,752	5,965
11.7	Military personnel	821,524	829,620	862,080
11.8	Special personal services payments	1,996	2,010	2,085
11.9	Total personnel compensation	966,707	975,803	1,013,779
12.1	Civilian personnel benefits	26,045	26,224	27,195
12.2	Military personnel benefits	89,953	90,840	93,996
13.0	Benefits for former personnel	2,448	2,565	3,435
21.0	Travel and transportation of persons	61,627	63,846	65,953
22.0	Transportation of things	39,612	44,454	49,099
23.1	Rental payments to GSA	23,019	28,746	31,353
23.2	Rental payments to others	29,834	33,341	44,659
23.3	Communications, utilities, and miscellaneous charges	83,354	92,328	123,574
24.0	Printing and reproduction	5,637	5,984	8,016
25.0	Other services	281,084	313,909	421,634
26.0	Supplies and materials	236,627	263,552	363,654
31.0	Equipment	86,301	95,748	129,070
32.0	Lands and structures	253	776	879
42.0	Insurance claims and indemnities	1,612	1,710	2,290
43.0	Interest and dividends	377	441	534
99.0	Subtotal, direct obligations	1,934,490	2,040,267	2,379,120
99.0	Reimbursable obligations	103,531	77,356	77,867
99.9	Total obligations	2,038,021	2,117,623	2,456,987

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES
Personnel Summary

Identification code: *69-0201-0-1-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Direct:			
Military:			
Total number of full-time permanent positions	37,085	37,129	37,548
Total compensable workyears: Full-time equivalent employment	36,705	37,129	37,224
Civilian:			
Total number of full-time permanent positions	4,576	4,632	4,777
Total compensable workyears: Full-time equivalent employment	4,456	4,602	4,716
Full-time equivalent of overtime and holiday hours	142	120	120

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OPERATING EXPENSES
Personnel Summary, p. 2

Identification code: *69-0201-0-1-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Reimbursable:			
Military:			
Total number of full-time permanent positions	131	131	131
Total compensable workyears: Full-time equivalent employment........	131	131	131
Civilian:			
Total number of full-time permanent positions	17	17	17
Total compensable workyears: Full-time equivalent employment........	16	16	16

COAST GUARD OPERATING EXPENSES

FINANCIAL INFORMATION AND BASE RESOURCES DEVELOPMENT EFFORTS

The Coast Guard is making every attempt be responsive to Congressional inquiries and reporting requirements. Currently, the Coast Guard is actively involved in the implementation of the Departmental Accounting and Financial Information System (DAFIS). This information system will make available more reliable financial information in responding to Congressional inquiries and reporting requirements. Furthermore, this system will provide financial data not previously accessible to aid in the determination of base funding levels. As of October 1, 1989, the Coast Guard Atlantic Area converted to the DAFIS system; as of October 1, 1990, we plan to convert Coast Guard's Pacific Area to DAFIS. Since DAFIS is not fully operational however, for purposes of reporting base funding information in Coast Guard's FY 1991 budget submission, we have derived base information, reflected by line item, through existing financial information available.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
OPERATING EXPENSES
Budget Authority (dollars in thousands)

	1989 Actual *		1990 Estimate *		1991 Estimate	
Program by activities:	Full-time perm.pos.	Appro-priation	Full-time perm.pos.	Appro-priation	Full-time perm.pos.	Appro-priation
1. Search and rescue....................	8,903	417,149	8,686	424,391	8,955	499,661
2. Aids to navigation....................	8,572	401,756	8,252	403,172	8,532	476,048
3. Marine safety........................	2,482	116,404	2,468	120,584	2,705	150,890
4. Marine environmental protection..	2,757	129,188	3,340	163,227	3,454	192,687
5. Enforcement of laws and treaties..	14,848	695,849	15,126	739,011	14,704	820,334
6. Ice Operations........................	1,912	89,576	1,820	88,958	1,812	101,066
7. Defense readiness....................	2,187	102,461	2,069	100,997	2,163	120,665
8. Headquarters administration.......	[1,680]	[127,449]	[1,684]	[133,294]	[1,690]	[137,066]
Total appropriation or estimate.	41,661	1,952,383	41,761	2,040,340	42,325	2,361,351
(Military)........................	37,085		37,129		37,548	
(Civilian).......................	4,576		4,632		4,777	

* *FY's 1989 and 1990 exclude $140,000,000 in DOD funding of support-in-kind.*

DEPARTMENT OF TRANSPORTATION
COAST GUARD
FY 1991
OPERATING EXPENSES - JUSTIFICATION

CAT	*TITLE*	*QTR*	*POSITIONS* *MIL*	*POSITIONS* *CIV*	*FTE* *MIL*	*FTE* *CIV*	*($000)* *CG* *REQUEST*
1.	*PROGRAM REDUCTIONS*						
	A. ANNUALIZATION OF FY 1990 MANAGEMENT SAVINGS	4	0	0	-79	0	-$3,072
	B. TERMINATION OF ONE-TIME COSTS	4	0	0	0	0	-8,178
	C. OCEAN DUMPING BAN ACT REIMBURSEMENT	4	0	0	0	0	-1,300
	D. INTER-AGENCY PROGRAM ADJUSTMENTS	4	0	0	0	0	-230
	E. A-76 REDUCTIONS	4	-190	0	-190	0	0
	SUBTOTAL, CATEGORY 1		-190	0	-269	0	-$12,780

OPERATING EXPENSES – JUSTIFICATION

CAT	TITLE	QTR	POSITIONS		FTE		($000) CG REQUEST
			MIL	CIV	MIL	CIV	
2.	**BUILT-IN CHANGES**						
	A. ANNUALIZATION OF FY 1990 PART-YEAR FUNDING	4	0	0	0	8	$371
	B. ANNUALIZATION OF FY 1990 PAY RAISE	4	0	0	0	0	27,542
	C. FY 1991 PAY RAISE	4	0	0	0	0	14,479
	D. NON-PAY COST OF LIVING ADJUSTMENT	4	0	0	0	0	39,457
	E. GENERAL SERVICES ADMINISTRATION RENT	4	0	0	0	0	2,695
	F. FUNDING FOR INTER-AGENCY REIMBURSABLE AGREEMENTS	4	0	0	0	0	1,867
	G. INCREASED HOUSEHOLD GOODS (HHG) WEIGHT ALLOWANCES	4	0	0	0	0	2,900
	H. MANDATED INITIATIVES	4	0	0	0	0	608
	I. DEPARTMENTAL ACCOUNTING FINANCIAL INFORMATION SYSTEM (DAFIS) COSTS	4	0	0	0	0	1,600
	J. 378-FOOT HIGH ENDURANCE CUTTER FRAM RECREWING	2	257	0	124	0	4,519
	K. CIVILIAN COMPENSABLE DAY	4	0	0	0	0	600
	L. RESTORE ONE-TIME FY1990 REDUCTIONS	4	0	0	0	0	41,750
	SUBTOTAL, CATEGORY 2		257	0	124	8	$138,388

OPERATING EXPENSES - JUSTIFICATION

CAT	TITLE	QTR	POSITIONS MIL	POSITIONS CIV	FTE MIL	FTE CIV	($000) CG REQUEST
3.	*OPERATE NEW FACILITIES*						
	A. COAST GUARD STATIONS FOLLOW-ON PERSONNEL	4	37	0	24	0	$681
	B. OPERATE AIR FACILITY CHARLESTON	4	37	0	37	0	1,520
	C. HH-60J AIRCRAFT MAINTENANCE AND OPERATIONS FOLLOW-ON	4	0	0	0	0	3,530
	D. HH-60J/HH3F PERSONNEL REQUIREMENTS	4	77	2	77	2	2,759
	E. HH-65A AIRCRAFT MAINTENANCE AND OPERATIONS FOLLOW-ON	4	0	0	0	0	2,474
	F. OPERATE GULF COAST LAND-BASED AEROSTATS	4	0	0	0	0	2,000
	G. WATERWAYS AIDS TO NAVIGATION FOLLOW-ON	4	0	0	0	0	442
	H. SHIPBOARD STANDARD WORKSTATION FOLLOW-ON SUPPORT	4	0	0	0	0	1,137
	I. SHORE FACILITY CONSTRUCTION FOLLOW-ON	4	0	0	0	0	4,597
	SUBTOTAL, CATEGORY 3		151	2	138	2	$19,140

OPERATING EXPENSES – JUSTIFICATION

CAT	*TITLE*	*QTR*	*POSITIONS* *MIL*	*CIV*	*FTE* *MIL*	*CIV*	*($000) CG REQUEST*
4.	*INCREASE OR RESTORE OPERATIONAL CAPABILITY*						
	A. BOAT CREW SURVIVAL EQUIPMENT	4	0	0	0	0	$621
	B. NIGHT VISION GOGGLES-PHASE II	4	0	0	0	0	2,600
	C. LAW ENFORCEMENT AIRCREW FOLLOW-ON	2	68	0	34	0	1,072
	D. COMPLETE RESCUE SWIMMER IMPLEMENTATION	2	42	0	21	0	600
	E. BOATING-WHILE-INTOXICATED ENFORCEMENT PROGRAM	4	0	0	0	0	239
	F. C-2 LOGISTICS AIRCRAFT	4	12	0	12	0	365
	G. IMPROVE 110-FOOT ISLAND CLASS PATROL BOAT (WPB) SQUADRON DEPLOYABILITY	2	19	0	9	0	300
	H. WATERWAYS ANALYSIS AND MANAGEMENT SYSTEM (WAMS)	2	10	0	5	0	380
	I. SAFETY AND OCCUPATIONAL HEALTH (SOH) PROGRAM	2	34	0	17	0	850
	J. FISHING INDUSTRY VESSEL SAFETY PROGRAM	4	12	6	12	6	1,500
	K. READINESS EXERCISE PLANNING AND SUPPORT	4	0	0	0	0	300
	L. ESTABLISH AND OPERATE COMPUTER SYSTEMS AT MARTINSTBURG, WEST VIRGINIA	4	-31	8	-31	8	3,800
	M. INVESTIGATIONS PROGRAM IMPROVEMENTS	2	2	6	1	3	178
	N. AIRCRAFT REPAIR AND SUPPLY CENTER PROGRAM STAFFING SHORTFALL	4	15	51	13	51	81
	O. ENVIRONMENTAL COMPLIANCE	2	0	11	0	5	4,000
	P. MARINE ENVIRONMENTAL PROTECTION INITIATIVE	2	0	50	0	25	5,422
	SUBTOTAL, CATEGORY 4		183	132	93	98	$22,308

OPERATING EXPENSES - JUSTIFICATION

			POSITIONS		*FTE*		*($000) CG*
CAT	*TITLE*	*QTR*	*MIL*	*CIV*	*MIL*	*CIV*	*REQUES*
5.	*MAINTAIN CAPABILITY OF CAPITAL EQUIPMENT*						
	A. SHORE FACILITIES REHABILITATION AND MAINTENANCE	4	0	0	0	0	$7,000
	SUBTOTAL, CATEGORY 5		0	0	0	0	$7,000

			POSITIONS		*FTE*		*($000) CG*
CAT	*TITLE*	*QTR*	*MIL*	*CIV*	*MIL*	*CIV*	*REQUES*
6.	*RECRUIT, TRAIN AND MAINTAIN SERVICE IN ALL-VOLUNTEER ENVIRONMENT*						
	A. DEVELOPMENT OF A DEDICATED MINORITY RECRUITING NETWORK	4	0	0	0	0	$600
	B. HEALTH CARE FUNDING COST INCREASES	4	0	0	0	0	3,500
	SUBTOTAL, CATEGORY 6		0	0	0	0	$4,100

OPERATING EXPENSES - JUSTIFICATION

CAT	TITLE	QTR	POSITIONS MIL	POSITIONS CIV	FTE MIL	FTE CIV	($000) CG REQUEST
7.	*IMPROVE MANAGEMENT EFFECTIVENESS*						
	A. CORPORATE DATA (CDB) BASE	4	0	1	0	1	$490
	B. CENTRALIZED OVERSIGHT OF CIVIL PENALTY PROCESS AND IMPROVE COLLECTIONS	2	0	4	0	2	220
	C. CONFIGURATION MANAGEMENT AND SHIPBOARD COMPLIANCE	2	18	6	9	3	2,235
	SUBTOTAL, CATEGORY 7		18	11	9	6	$2,945
	SUBTOTAL, CATEGORIES 2-7		609	145	364	114	$193,881
	GRAND TOTAL, CATEGORIES 1-7		419	145	95	114	$181,101

FY 1991

DETAILED EXPLANATION OF CHANGES

1. **PROGRAM REDUCTIONS** .... -$12,780,000

Personnel:	POS	FTE
Military	-190	-269
Civilian	0	0

a. Annualization of FY 1990 Management Savings .. -$3,072,000

The annualization of part-year personnel reductions initiated in FY 1990 results in a savings of $3,072,000 and the reduction of 79 full-time equivalent workyears. These savings result from the decommissioning of three Medium Endurance Cutters and six Patrol Boats.

Personnel:	POS	FTE
Military	0	-79
Civilian	0	0

b. Termination of One-time Costs .... -$8,178,000

Termination of one-time start-up costs for programs funded in FY 1990 will result in the following program reductions in FY 1991:

Item	AMOUNT
Follow-on Funding for Two E-2C Aircraft..	-$144,000
Restore Shipboard-Helicopter Operations Readiness............................	-29,000
Land-Based Aerostat Communications and Management.......................	-37,000
378-Foot High Endurance Cutter (WHEC) Fleet Rehabilitation and Maintenance (FRAM) Follow-on.....................	-88,000
110-Foot Island Class Patrol Boat (WPB) Follow-on............................	-180,000
Intelligence Support....................	-23,000
Vessel Identification System............	-35,000
Shore Facility Construction Follow-on....	-29,000
Environmental Compliance................	-9,000
Shore Facilities Rehabilitation and Maintenance..........................	-15,000
Day Care Center Management..............	-89,000
HU-25 Aircraft Spare Parts Shortfall.....	-7,500,000
Total..........................	-$8,178,000

1. **PROGRAM REDUCTIONS (Con't)**

c. Ocean Dumping Ban Act Reimbursement .... -$1,300,000

The Coast Guard will be reimbursed a portion of the permit fees collected by the Environmental Protection Agency from municipalities engaged in ocean dumping. The fees are intended to offset costs incurred in the conduct of monitoring and surveillance of ocean dumping activities involving the Deepwater Municipal Sewage Sludge Site.

d. Inter-Agency Program Adjustments .... -$230,000

In FY 1991 the Coast Guard's portion of the National Security Emergency Preparedness (NSEP) telecommunications system will decrease by $230,000.

e. A-76 Reductions $0

Additional personnel savings are anticipated in FY 1991 as a result of the continued contracting of commercial activities to the private sector.

Personnel:	POS	FTE
Military	-190	-190
Civilian	0	0

31

2. **BUILT-IN CHANGES** $138,388,000

Personnel:	POS	FTE
Military	257	124
Civilian	0	8

a. Annualization of FY 1990 Part-Year Funding ... $371,000

Certain projects for which resources were first provided in FY 1990 were funded for only part of the year. Additional funds and full-time equivalents are required to provide full year resources for the following items:

Item	Amount	FTE	
		Mil	Civ
Shore Facility Construction Follow-on	$305,000	0	7
Environmental Compliance.......	66,000	0	1
Total	$371,000	0	8

b. Annualization of FY 1990 Pay Raise and Restoration of Operational Funding $27,542,000

Annualization of FY 1990 Pay Raise $9,337,000

This request provides recurring funding for the 3.6 percent increase in pay and other entitlements for military and civilian personnel which became effective January 1, 1990. During FY 1990 funding was required for only the three quarters of the year the pay raise was effective. This request will fund the fourth quarter that is required in FY 1991 and succeeding years.

Restoration of Operational Funding ...$18,205,000

A 3.6% increase in pay and other entitlements became effective on January 1, 1990, for military and civilian personnel. Coast Guard was required to absorb two-thirds of the cost of the pay raise in FY 1990. In order to fund this entitlement within available resources, it was necessary to divert resources from traditional operational support activities, utilizing funds that would normally have gone for the maintenance, support and operation of facilities -- both stations and equipment. To avoid further degradation in the operational condition of Coast Guard facilities and any reduction in services to the public, this funding must be restored.

2. BUILT IN CHANGES (Con't)

c. FY 1991 Pay Raise	$14,479,000

This request provides fifty percent of three-quarter year funding for the proposed FY 1991 3.5 percent pay increase to become effective January 1, 1991.

d. Non-Pay Cost of Living Adjustment	$39,457,000

Escalation in the price of goods and services during the previous fiscal year is a factor that must be accommodated to maintain the same level of service to the public in FY 1991. Funding is requested to provide a cost-of-living offset based on an inflation rate of 3.3 percent for all non-pay items.

e. General Services Administration RENT	$2,695,000

Funding is requested to support the necessary adjustments for full payment of lease charges for existing and increased planned Coast Guard space requirements, including an estimated 4.4 percent rent increase for FY 1991. This request reflects an increase of 9 percent above the FY 1990 funding base.

The FY 1990 funding base is $29,856,000, and does not reflect any assumptions which would have held Coast Guard's FY 1990 rental space charges to FY 1989 levels.

f. Funding for Inter-Agency Reimbursable Agreements	$1,867,000

Funding is requested to pay for additional uncontrollable charges billed by other agencies: $590,000 to the Department of Labor for benefits paid to employees under the Federal Employee Compensation Act; $195,000 to the Federal Aviation Administration for pay processing and the personnel management information system for civilian employees of the Coast Guard; $920,000 to the U.S. Navy for outpatient health care rendered to Coast Guard military members and dependents, uniform design and technical support; and, $162,000 to the Department of Transportation for pay processing and personnel management services for Coast Guard military members.

2. **BUILT IN CHANGES (Con't)**

g. Increased Household Goods (HHG) Weight Allowances $2,900,000

Funding is requested to provide recurring personnel support funding for a new entitlement for military members mandated in P.L. 100-46 (The National Defense Authorization Act of 1989). This law increased household weight allowance ceilings in conjunction with permanent change of station (PCS) transfers for shipments made after 30 June 1989. Household goods weight allowances vary by pay grade, and the increase reflects growth in the amount of household goods maintained by the all-volunteer armed forces. The Coast Guard will provide this expanded entitlement to all military members making PCS moves.

h. Mandated Initiatives $608,000

Funding is requested for three new programs mandated by law or executive order requiring reimbursement by the Coast Guard to several other agencies as follows. First, the new Homeowners Assistance Program (P.L. 89-754, as amended by P.L. 100-448 to include the Coast Guard) requires compensation to military and civilian personnel for losses incurred on the sale of houses as a result of installation closures or reductions, or A-76 actions. The law requires reimbursement to the U.S. Army Corps of Engineers (Administrator for the government-wide program) when it has been determined that personnel are eligible for government assistance. Funding ($100,000) is requested for this program, including administrative costs. Second, the Department of Defense is replacing the current paper-laminated identification card with a more secure, machine-readable one. The Coast Guard has been assessed a fixed cost share of hardware and operating expenses for the new initiative, starting in FY 1990. Funding ($369,000) is requested for this program. Third, as per Executive Order 12564, the Department of Transportation (DOT) implemented a department-wide Drug Education and Awareness Program in FY 1988. Coast Guard participation is mandatory. Funding ($139,000) is requested to provide reimbursement to DOT for the Coast Guard's share of the cost of this initiative.

2. **BUILT IN CHANGES (Con't)**

i. Departmental Accounting and Financial Information System (DAFIS) Costs $1,600,000

Beginning on October 1, 1989, the new Coast Guard Finance Center assumed responsibility for all Atlantic Area accounting transactions. The Coast Guard is required to provide funds to cover the operating costs for the Atlantic area portion of the DAFIS system in FY 1991. In FY 1992, additional funding will be required to cover operating costs when Pacific Area accounting transactions are transferred to DAFIS.

j. 378-Foot WHEC FRAM Recrewing $4,519,000

In order to provide crews for 378-foot High Endurance Cutters (WHECs) completing Fleet Rehabilitation and Modernization (FRAM) in FY 1991, Coast Guard military positions eliminated in FY 1985 and FY 1986 must be restored. Seven of twelve 378-foot WHECs completing FRAM will be recrewed through internal personnel reallocations resulting from freed up resources associated with cutters undergoing rehabilitation. However, the final five cutters completing FRAM must be staffed with newly formed crews using billets eliminated, and not previously restored, when five 378-foot WHECs were decommissioned. This request restores the military billets eliminated in FY 1985 and FY 1986.

Personnel:	POS	FTE
Military	257	124

k. Civilian Compensable Day $600,000

This request provides funding for an additional compensable pay day in FY 1991 for all civilian employees (261 days vs. 260 days).

l. Restore One-Time FY 1990 Reductions $41,750,000

This request restores base funds for operating expenses which were reduced in FY 1990 on a one-time basis primarily resulting from the Deficit Control Act P.L. 99-177, and the Emergency Drug Funding Initiative P.L. 101-164. To reduce the threat to our operating readiness status, these funds must be restored to prevent a permanent reduction to base availability necessary to support ongoing Coast Guard operations.

3. OPERATE NEW FACILITIES $19,140,000

Personnel:	POS	FTE
Military	151	138
Civilian	2	2

a. Coast Guard Stations Follow-on Personnel $681,000

During fiscal year 1991, AC&I construction projects at three coastal stations (Oak Island, Lake Worth, and East Tawas) will be completed. These three projects were approved in response to increased operational demands and the need to upgrade deteriorated facilities. The existing station staffing is inadequate to complete assigned operational missions and meet necessary boat readiness requirements. To meet the increased operational demands and facilitate-year-round readiness requirements at these stations, 11 additional personnel are needed at Station Oak Island, 13 additional personnel are needed at Station Lake Worth and 13 additional personnel are needed at Station East Tawas.

Personnel:	POS	FTE
Military	37	24

The Coast Guard's FTE base includes 23 FTE at Station Oak Island, 32 FTE at Station Lake Worth, and 15 FTE at Station East Tawas.

b. Operate Air Facility Charleston $1,520,000

Personnel resources and associated funding are requested to support the congressionally mandated Air Facility Charleston, South Carolina. This year-round, 24-hour, all-weather helicopter facility will improve search and rescue service along the South Carolina coast. This request provides the personnel to operate and maintain the two HH-65A helicopters that will be added to Air Station Savannah, Georgia, to support a single HH-65A helicopter deployment to Air Facility Charleston. Establishment and operation of Air Facility Charleston was directed by the Congress in the Coast Guard Authorization Act of 1988, P.L. 100-448 and is a "new start".

Personnel:	POS	FTE
Military	37	37

There are no funds in the Coast Guard's base for this initiative.

3. OPERATE NEW FACILITIES (Con't)

c. HH-60J Aircraft Maintenance and Operations Follow-on $3,530,000

Follow-on funding is required to operate and maintain seven HH-60J Medium Range Recovery (MRR) helicopters which are scheduled for delivery through FY 1991. These aircraft will replace HH-3F MRR helicopters that are reaching the end of their useful service lives. They will be assigned as follows: four at Aviation Training Center (ATC) Mobile, AL and three at Air Station Elizabeth City, NC. The four HH-60J helicopters at Mobile, AL will be used as training aircraft to train HH-60J pilots fleet-wide. HH-3F helicopter training will continue to be required until the HH-3F helicopters are completely removed from service. The latter three helicopters at Elizabeth City, NC. will be made fully operational to perform their mission requirements of search and rescue, enforcement of laws and treaties, marine environmental protection and aids to navigation. It is anticipated that a total of 32 HH-60J helicopters will be delivered by mid FY 1993.

Since these are new helicopters, no funding currently exists in the Coast Guard's base for their operation.

d. HH-60J/HH-3F Personnel Requirements $2,759,000

Personnel resources are requested to support the implementation and deployment of the HH-60J at seven operational air stations. Although the HH-60J is a one-for-one replacement for the HH-3F, both aircraft must be operated simultaneously for a three-year period. Consequently, until the HH-3F is decommissioned, additional personnel are required to provide Integrated Logistics Support (ILS) and implementation training. These billets will be required for the duration of the implementation period (FY1991-93). Upon retirement of the HH-3F, the ILS functions will be assumed by the traditional aviation support managers, training staff, and maintenance personnel now assigned to the HH-3F.

Personnel:	POS	FTE
Military	77	77
Civilian	2	2

These are interim resources. As such, no personnel are in the Coast Guard's base to perform these functions.

3. OPERATE NEW FACILITIES (Con't)

e. HH-65A Aircraft Maintenance and Operations Follow-on $2,474,000

The funds in this request are required to cover operating and maintenance costs associated with increasing flight hours on operational HH-65A from 635 to 645 hours per year. The increase of flight hours will allow the Coast Guard to perform a higher percentage of the mission requirements of the HH-65A aircraft. The intended program level of this aircraft is 800 hours per aircraft per year. Of the 96 total HH-65As, 80 will be operational throughout FY 1991; the remaining 16 will be used to support the overhaul line and replace operational helicopters lost due to crash attrition.

The Operating Expenses base for HH-65As is currently $58 million and 1032 FTE.

f. Operate Gulf Coast Land-Based Aerostats $2,000,000

The Coast Guard plans to operate land-based aerostats around the Gulf of Mexico beginning in FY 1991. As an important part of the maritime and air drug interdiction strategy, these surveillance systems will provide surface and air detection information to the joint Coast Guard/Customs C3I Center East located in Miami, Florida. At the C3I Center, the information will be processed and evaluated to identify suspect smuggling targets for interception. The aerostats will be sited near Matagorda, TX; Morgan City, LA; Mobile Port, AL; and Horseshoe Beach, FL. They will close the gap between the Coast Guard's aerostat site near Venice, FL (relocated from Cape Canaveral) and the Customs site at Rio Grande City, TX. This request, combined with previously appropriated funds, will provide funding for 24-hour/7 days per week coverage through contractor operation and prevent the possible degradation of land-based aerostat surveillance operations.

To date, $16.25 million in Operating Expenses and 11 FTE have been provided to Coast Guard for aerostat operations.

3. OPERATE NEW FACILITIES (Con't)

g. Waterways Aids to Navigation Follow-on $442,000

Six Aids to Navigation projects are scheduled for completion during fiscal year 1990. This is in response to requirements identified by the Army Corps of Engineers and by the Waterways Analysis and Management System (WAMS). Follow-on funding is required for servicing and maintaining these aids which will enhance navigational safety in critical waterways.

The annual base funding available to maintain navigation equipment, including buoy and structure replacement, is $15 million. Maintenance costs, including expensive chain replacement, averages over $10 million annually. Annual buoy replacement costs for the smaller inland river buoys averages almost $2 million due to high losses associated with river level fluctuations and heavy barge traffic. Coast Guard operating units receive an additional $1.3 million for AtoN consumables (batteries, lamps, solar panels, flashers, etc.). The remaining funds are spent on replacements for the Coast Guard's 10,000 large buoys ($66 million replacement value).

h. Shipboard Standard Workstation Follow-on Support $1,137,000

Follow-on funding is required to maintain, repair, and replace Coast Guard Standard Workstations that are installed on cutters 140-foot and larger. The computer equipment supports information systems that improve law enforcement operations, equipment maintenance programs, personnel management, search and rescue management, and general administration.

The Operating Expenses base for maintenance (only) of the Standard Workstations is currently $220,000.

i. Shore Facility Construction Follow-on $4,597,000

Operating and maintenance (O&M) funds are required to support the following shore construction projects scheduled for completion prior to FY 1992:

MAJOR AC&I	LOCATION
Station Oak Island Rehabilitation	Southport, NC
Station Oregon Inlet Relocation	Rodanthe, NC
Station Lake Worth Inlet Relocation	Riviera Beach, FL
Air Station Clearwater - SEUS PH II	Clearwater, FL
Station Cortez - New Station	Cortez, FL

3. OPERATE NEW FACILITIES (Con't)

i. Shore Facility Construction Follow-on (Con't)

MINOR AC&I	LOCATION
Station Panama City Admin Building	Panama City, FL
Station Toledo UPH	Toledo, OH
Base Detroit - Rehabilitation PH I & II	Detroit, MI
Support Center Seattle Pier 35 - PH II	Seattle, WA
Mid Continent Loran Stations	Various
Training Center Beach Replenishment	Cape May, NJ
Training Center Dispensary	Petaluma, CA
Training Center ET/TT School Building	Petaluma, CA
Group Long Island Sound Boat Maintenance Facility	New Haven, CT
Station New Haven Support Building	New Haven, CT
Support Center Portsmouth Boat Haulout	Portsmouth, VA
Station Marathon Shop Building	Marathon, FL
Air Station Borinquen Fuel Farm Modifications	Aquadilla, PR
Station Port Isabel Waterfront	Isabel, TX
Patrol Boat Cutter Support Facility	Morro Bay, CA
Station Depoe Bay Facilities Upgrade	Depoe Bay, OR
Base Ketchikan Breakwater Repair	Ketchikan, AK
Support Center Kodiak Cutter Storage Building	Kodiak, AK
Information Systems Center Computer Building	Alexandria, VA
Electronics Engineering Center Computer Building	Wildwood, NJ
Training Center Child Care Facility	Cape May, NJ
Aviation Training Center Underground Fuel Tanks	Mobile, AL
Aviation Training Center Composite Repair Facility	Mobile, AL
Training Center Utilities Upgrade	Petaluma, CA
Yard Building 32 Upgrade	Curtis Bay, MD
Yard Flammable Storage Upgrade	Curtis Bay, MD
Yard Acid Cleaning Building	Curtis Bay, MD

Since each of the preceding shore construction projects are new projects requiring O&M funding, there are no funds in the Coast Guard's base for these initiatives.

4. INCREASE OR RESTORE OPERATIONAL CAPABILITY $22,308,000

Personnel:	POS	FTE
Military	183	93
Civilian	132	98

a. Boat Crew Survival Equipment $621,000

Funds are requested to purchase one-third of the total boat crew survival equipment needs (approximately 1,400 outfits on a 3-year replacement cycle) for all Stations, Groups, and Bases with readiness boat requirements, and all Cutters, Aids to Navigation Teams, and Marine Safety Offices. Boat crews and boarding parties routinely perform missions in rough waters and cold weather conditions. Survival suits fitted for each member are needed to afford hypothermia protection, adequate buoyancy, and warm/dry conditions on deck.

The funding base for Boat Crew Survival Equipment is $500 thousand. A base of $1.121 million ($500 thousand current plus $621 thousand requested) is needed to replace one-third of boat crew survival equipment as it reaches the end of its estimated three-year service life.

b. Night Vision Goggles - Phase II $2,600,000

Funding is required to procure and maintain night vision goggles (NVGs), associated flight helmets, and retrofit the interior lighting of the Short Range Recovery (SRR) HH-65A helicopter for NVG compatibility. These funds are necessary to enhance the otherwise limited night surveillance and search capabilities during search and rescue (SAR), law enforcement (ELT), and defense operations (DO) missions. This second year of a three-year phased implementation will procure NVGs for one-half of the HH-65A helicopter fleet, procure the remaining NVG compatible aircrew flight helmets, and retrofit one-half of the HH-65A helicopter fleet with NVG compatible interior lighting. Implementation of NVGs will greatly enhance the capability of aircrews to locate objects on the surface of land or water, during nighttime SAR, ELT and DO operations, thus increasing the overall effectiveness of operations.

No funding base exists for this initiative. Phase I of this program was funded, on a non-recurring basis, through the Anti-Drug Abuse Act of 1988.

4. INCREASE OR RESTORE OPERATIONAL CAPABILITY (Con't)

c. Law Enforcement Aircrew Follow-on $1,072,000

This request provides additional aviation enlisted mechanics to crew and maintain the Coast Guard's HH-65A helicopters. Funding will enable the Coast Guard to meet the number of shipboard deployment days needed to adequately perform the Law Enforcement program. In addition, funding for maintenance personnel will significantly contribute to higher HH-65A availability and utilization rates. Currently, the HH-65A availability rate is 56%, which is considerably lower than the availability goal of 71%. The productivity and effectiveness gains achieved when a helicopter is deployed aboard a cutter while on Law Enforcement patrols are well documented.

Personnel:	POS	FTE
Military	68	34

The current Operating Expenses base for HH-65A operations is $58 million and 1032 FTE.

d. Complete Rescue Swimmer Implementation $600,000

This request provides the personnel and funds to complete the multi-year implementation of the Congressionally mandated Helicopter Rescue Swimmer Program. This program will dramatically increase the ability to rescue incapacitated people from the water, especially since the last of Coast Guard's amphibious helicopters, the HH-3F, is being replaced by the state-of-the-art HH-60J non-amphibious helicopter. The following Coast Guard aviation units will be implemented during this final phase: Miami, Florida; Borinquen, Puerto Rico; Corpus Christi, Texas; Barbers Point, Hawaii; Humboldt Bay, California; Chicago, Illinois; Newport, Oregon; and Charleston, South Carolina. When this phase is complete, a total of 24 search and rescue (SAR) helicopter-equipped air stations will be staffed to provide rescue swimmer capability. Based upon the actual performance of the 11 operational Rescue Swimmer Air Stations to date, this humanitarian program is expected to save approximately 65 lives per year.

Personnel:	POS	FTE
Military	42	21

The rescue swimmer program base is $451 thousand and 99 FTE.

4. INCREASE OR RESTORE OPERATIONAL CAPABILITY (Con't)

e. Boating-While-Intoxicated Enforcement Program $239,000

The Coast Guard is required by 46 USC 2302(c) to enforce regulations prohibiting the operation of a vessel while intoxicated. The regulations apply to any vessel operating on U.S. navigable waters and to U.S. vessels operating on the high seas. In response to these requirements, and because of the importance of the BWI program, funds were reprogrammed from other competing sources in late 1989, on a one-time basis, to conduct a trial "Boating-While-Intoxicated (BWI)" enforcement program in the Fifth and Eighth Coast Guard Districts. This pilot program included the use of portable breath testing devices to train personnel in determining whether an individual is under the influence. It also included a public information program to increase awareness of the dangers of boating while intoxicated and to explain Coast Guard enforcement policy. This request will provide the necessary recurring funding needed to expand this program nation-wide.

No base funding exists for this initiative.

f. C-2 Logistics Aircraft $365,000

Coast Guard is working with the Navy to obtain a C-2 logistics aircraft on loan for pilot/aircrew training purposes. This C-2 aircraft is equivalent to the E-2C aircraft, minus the avionics. Its acquisition will allow virtually all E-2C pilot/aircrew training to be concentrated in one airframe, which does not contain expensive avionics equipment. This change will allow the E-2C aircraft to concentrate on operations. As a secondary benefit, the cargo carrying capacity of the C-2 will permit it to substitute for currently used, more costly, HC-130s for logistics support of deployed E-2C operations. This request provides funding for personnel resources.

Personnel:	POS	FTE
Military	12	12

No base funding exists for this initiative.

4. INCREASE OR RESTORE OPERATIONAL CAPABILITY (Con't)

g. Improve 110-foot Island Class Patrol Boat (WPB) Squadron Deployability..................... $300,000

Personnel and funding are required to provide adequate pipeline training to ensure that the 110-foot WPB squadrons can effectively meet rapid deployment plans for both wartime and peacetime missions. The additional personnel are necessary to accomplish required preventive and corrective maintenance on the squadron-based 110-foot WPBs, thus enabling the cutters to fulfill programmed under-way hours and to stand ready to deploy on drug interdiction or military missions. A recent staffing analysis of squadron support needs, using a GAO validated U.S. Navy Manpower Engineering Center model, indicated shortfalls in personnel that this request seeks to correct.

Personnel:	POS	FTE
Military	19	9

There are currently 26 FTE (thirteen in each of the two squadron staffs) in the base.

h. Waterways Analysis and Management System (WAMS) $380,000

Funding is requested to provide one military person to each district staff in the continental United States to coordinate WAMS analyses. WAMS serves as the basis for the systematic analysis and management of aids to navigation in the nation's waterways. It requires periodic reviews of each waterway, which entails day and night transits, meetings with users, and determination if the waterway is critical or non-critical. Because district staffs were not previously augmented to handle the WAMS analyses and have been unable to complete WAMS reviews in a timely manner, less than 40% of the 452 critical waterways studies have been completed. This request is in direct response to the OST Safety Task Force recommendation.

Personnel:	POS	FTE
Military	10	5

No base funding exists for this initiative.

4. INCREASE OR RESTORE OPERATIONAL CAPABILITY (Con't)

i. Safety and Occupational Health (SOH) Programs	$850,000

The Coast Guard has reprogrammed existing billets to provide technical support for a pro-active SOH program for its marine safety and marine environmental response (ms/mer) personnel; however, more resources are needed at the unit level in order to complete the implementation. Within their normal work environment, Coast Guard ms/mer personnel are routinely subjected to a number of health hazards such as: toxic chemicals (including benzene in pure forms) in gasoline and in crude oil; asbestos; heat stress; and noise. The Occupational Safety and Health Administration (OSHA) and the Department of Transportation (DOT) have on several occasions cited the Coast Guard SOH programs for lack of adequacy. A National Cancer Institute study concluded that there has been excess mortality among Coast Guard marine inspectors which could be due to work related exposure to chemical cargoes. Funds are required to provide additional billets to perform technical support for the SOH program at Coast Guard ms/mer units that have the largest number of personnel at risk.

Personnel:	POS	FTE
Military	34	17

The current Operating Expenses base for the Safety and Occupational Health programs is $411,000.

j. Fishing Industry Vessel Safety Program	$1,500,000

Funding and positions are required to reduce the number of casualties involving the documented commercial fishing vessel fleet, which, on average, annually suffers a loss of 84 lives and 250 vessels annually. Congress directed the Coast Guard to develop and implement safety equipment regulations, prepare a licensing plan, maintain casualty statistics, and determine the need for a fishing vessel inspection program. To assist and encourage compliance with the proposed regulations, Coast Guard will initiate a nationwide education and training program with directed emphasis at the local working levels. Coast Guard "fishing vessel coordinators" will work with industry and local organizations, associations, junior colleges, etc. to develop seminars as well as more formal awareness programs.

Personnel:	POS	FTE
Military	12	12
Civilian	6	6

No base funding exists for this initiative.

4. INCREASE OR RESTORE OPERATIONAL CAPABILITY (Con't)

k. Readiness Exercise Planning and Support $300,000

Coast Guard's involvement in Joint Chiefs of Staff-directed worldwide Command Post Exercises (CPX) (three scheduled every two years) and at least one Field Training Exercise (FTX) every three years, has expanded the scope of exercise planning, participation and evaluation. Additionally, Coast Guard force support to a wide range of military contingencies has been further increased. Funding is required to provide travel, supplies, office equipment maintenance, and other administrative support for field readiness planning, exercises and evaluation.

The Operating Expenses base for Readiness Exercise Planning and Support is currently $885,000.

l. Establish and Operate Computer Systems at Martinsburg, West Virginia $3,800,000

Funding is required to consolidate operational computer systems at a new facility in Martinsburg, WV. The Operations Computer Center (OCC) currently running at Governors Island, NY, [which houses the Joint Maritime Information Element (JMIE) and the Automated Merchant Vessel Emergency Reporting (AMVER)] and the Marine Safety Information System (MSIS) being run by contractor in Columbus, OH will be combined to form a new Operations Computer Center in Martinsburg. Consolidation will result in the more efficient and consistent management of major ADP applications, improve the responsiveness of these systems to operational needs and elevate recognition of these systems as essential Coast Guard resources. The location offers advantages of a lower cost of living, increased availability of housing, and expanded access to a skilled labor pool.

Personnel:	POS	FTE
Military	-31	-31
Civilian	8	8

The Operating Expenses base for OCC at Governors Island, NY is $850,000.

4. INCREASE OR RESTORE OPERATIONAL CAPABILITY (Con't)

m. Investigations Program Improvements $178,000

The Coast Guard is experiencing increased demand for investigative services. New requirements for personnel security, internal affairs and criminal investigations have exceeded the capability of the assigned investigative personnel. The backlog of personnel security investigations causes delays in processing personnel for security clearances and assignment to sensitive positions. Training for investigators is hampered by the urgency of ongoing investigations. Additional personnel and funds are required to reduce the current backlog and to meet future needs.

Personnel:	POS	FTE
Military	2	1
Civilian	6	3

The Coast Guard Investigations program is operating with a funding base of $950 thousand and 136 FTE.

n. Aircraft Repair and Supply Center Program Staffing Shortfall $81,000

This request provides funding for two military billets and one civilian position. Of the remaining 63 positions/FTE requested, which require no additional funding, 57 are needed to properly support the aircraft fleet for the Aircraft Repair and Supply Center (AR&SC), and 6 FTE are required to support additional operational aircraft for Air Facility Charleston.

The AR&SC is not staffed properly to support the current Coast Guard aircraft fleet. While the fleet has grown from 149 aircraft in 1978 to 180 in 1989, the total staffing has decreased from 569 to 522. This equates to approximately 3 support personnel at AR&SC for every operational aircraft in comparison to 4 personnel per aircraft during a period when fewer (approximately 31%) overhaul labor hours were required for the Short Range Recovery (SRR), Medium Range Search (MRS), and Medium Range Recovery (MRR) aircraft. Lack of manpower on the overhaul line is causing overhaul intervals to extend beyond present limits, which is neither efficient nor safe. Use of overtime has steadily increased on the repair line and is expected to increase 83% over 1988. In addition, supporting the HU-25 and HH-65A, unlike other Coast Guard aircraft which receive some DOD support, requires engineering attention over and above what the Coast Guard's support structure is staffed to accomplish, including: cataloging parts; defining possible repairs; identifying replacement and repair vendors; and, evaluating proposals. Identifying

4. INCREASE OR RESTORE OPERATIONAL CAPABILITY (Con't)

n. Aircraft Repair and Supply Center Program Staffing Shortfall (Con't)

vendors often entails identifying the alloy of a particular component, determining suitable domestic replacements, and constructing drawings or blueprints of the component. The numerous problems associated with fixing the LTS-101 engine on the HH-65A helicopter have absorbed an increasing amount of time developing exotic coatings and conducting extensive scientific analysis of material conditions. Unusual under-deck corrosion in the HH-65A has also demanded extensive engineering attention.

Personnel:	POS	FTE
Military	15	13
Civilian	51	51

The Operating Expense base for the Aircraft Repair and Supply Center is $13.3 million and 549 FTE.

o. Environmental Compliance $4,000,000

This request provides additional funding and staff to maintain a viable Coast Guard environmental regulations compliance program. Funding will provide increased technical support to ensure that increasingly complex problem evaluations can be successfully completed, appropriate and cost effective problem remediation can be designed and executed, and compliance, once achieved, can be maintained. Coast Guard's environmental compliance program focuses mainly upon Coast Guard facilities, but also includes third party sites where Coast Guard activities have contributed to environmental problems. Examples of the range of Coast Guard environmental compliance responsibilities can be found in provisions of the Resource Conservation and Recovery Act (RCRA), Comprehensive Environmental Response and Liability Act (CERCLA), Clean Water Act (CWA) and Superfund Amendments and Authorization Act (SARA), as well as a host of state and local regulations.

Personnel:	POS	FTE
Civilian	11	5

The Operating Expense base for Environmental Compliance is $11 million and 26 FTE.

4. INCREASE OR RESTORE OPERATIONAL CAPABILITY (Con't)

p. Marine Environmental Protection Initiative $5,422,000

This Marine Environmental Protection Initiative consists of the following five components:

	Pos. Mil	Pos. Civ	FTE Mil	FTE Civ	FY 1991 Request
1. Pollution Fund Staff	0	7	0	4	$264,000
2. Contingency Planning and Preparedness	0	0	0	0	1,320,000
3. Licensing and Document Renewal	0	43	0	21	1,868,000
4. Pollution Prevention Enforcement (MARPOL)	0	0	0	0	1,380,000
5. Vessel Traffic Services (VTS) Reopen/Expansion	0	0	0	0	590,000
Total Request	0	50	0	25	$5,422,000

p.1. Pollution Fund Staff $264,000

Funding is requested for additional personnel to handle the claims and litigation and to maintain and oversee the funds associated with the Coast Guard's Pollution Fund. The EXXON VALDEZ oil spill has underscored the need to carry out a comprehensive and aggressive program to recover the costs of federally funded oil spill clean up operations associated with this fund, pursuant to the Clean Water Act, sec. 311(k).

Personnel:	POS	FTE
Civilian:	7	4

p.2. Contingency Planning and Preparedness........ $1,320,000

The Coast Guard has been tasked, under the National Contingency Plan, with oil and hazardous substance response contingency planning, and interagency coordination. Following a national re-examination of the network of National, Regional, and Local Contingency plans, greater capability will be required to realistically provide a rapid, coordinated interagency and industry response in the event of an extraordinary pollution incident. This request provides funding for full-time Port Emergency Response Contingency Planners at Captain of the Port Offices not currently staffed for that required level of capability.

4. INCREASE OR RESTORE OPERATIONAL CAPABILITY (Con't)

p.3. Licensing and Document Renewal.............. $1,868,000

The EXXON VALDEZ oil spill highlighted the need to periodically re-examine merchant mariner's documents (MMD's) to ensure that seamen are still qualified for their jobs. MMD's are not currently renewed. Renewing merchant mariner's documents every 5 years will effectively double the MMD workload by adding an estimated 15,000-20,000 transactions each year. Coast Guard's access to the National Drivers Records data base will aid in the evaluation of a mariner's competence to hold a seaman's license or document. Additional personnel and resources are requested to allow for the increased MMD workload.

Personnel:	POS	FTE
Civilian:	43	21

p.4. Pollution Prevention Enforcement (MARPOL).... $1,380,000

Recent legislation has placed new requirements upon the Coast Guard to increase prevention, enforcement and educational efforts aimed at the elimination of pollution in the marine environment. The Marine Plastic Pollution Research and Control Act implements Annex V of MARPOL through inspections, investigations, and an educational effort to reach the operators of an estimated 14 million vessels which were not previously affected by other MARPOL annexes. In addition, the Shore Protection Act and the Ocean Dumping Ban Act addressed the problems of garbage on our beaches and in our coastal waters, requiring the issuance of permits for, and monitoring of, the waterborne transport for garbage on vessels not presently under surveillance. This request will provide the additional funding needed to accomplish these new responsibilities.

p.5. Vessel Traffic Services (VTS) Reopen/Expansion $590,000

The 1989 major oil spill in Prince William Sound, Alaska generated considerable public interest in establishing additional Vessel Traffic Services (VTSs), and expanding the surveillance capabilities of the existing VTSs. This request will provide operating funds for the first phase of a three phase plan to reestablish a VTS in New York, New York.

5. **MAINTAIN CAPABILITY OF CAPITAL EQUIPMENT** $7,000,000

Personnel:	POS	FTE
Military	0	0
Civilian	0	0

a. Shore Facilities Rehabilitation and Maintenance $7,000,000

This request will provide funding for a backlog of shore facility maintenance and rehabilitation projects. The Coast Guard's five billion dollar shore plant continues to deteriorate due to inadequate funding for maintenance and rehabilitation projects. Additional funding will enable the Coast Guard to increase the maintenance efforts which will stem the deterioration of existing shore facilities and complete fifteen to twenty additional major rehabilitation projects each year.

The current base for Shore Facilities Rehabilitation and Maintenance, including Shore Facility Construction Follow-on is $82.7 million and 441 FTE.

6. RECRUIT, TRAIN, AND MAINTAIN SERVICE IN ALL-VOLUNTEER ENVIRONMENT $4,100,000

a. Development of a Dedicated Minority Recruiting Network.......................... $600,000

The Coast Guard desires to take a more pro-active posture toward establishing a fully representative work force within the service. Despite recent efforts, the Coast Guard has not made a significant impact on the minority segment of the American population in demonstrating that the Coast Guard is a desirable and attractive organization in which to invest their future. Past funding for special recruiting needs were generally grouped in the overall recruiting costs. This request will provide the targeted advertising necessary to improve minority representation in the Coast Guard.

No base funding exists for this initiative.

b. Health Care Funding Cost Increases........... $3,500,000

The Coast Guard is required by law to provide health care services for its military members and their dependents. Given the decentralized nature of Coast Guard operations, most of this health care is provided through private sector practitioners associated with CHAMPUS and other contractors. The Coast Guard's health care funding base is basically a reimbursement mechanism to CHAMPUS, the Department of Defense and some private contractors. Funding is requested to reflect real growth in health care costs due to expensive technology and extraordinary inflation in the medical sector. The increased demand for medical services is reflected in the national increase for health care as a percentage of GNP from 8.5% in 1975 to 11.3% in 1988. In addition, health care entitlements are increasing with the development of new services (e.g. cornea replacements and improved ~~infant life~~ support). Coast Guard health care costs reflect nationwide trends. This extraordinary cost increase is well above the anticipated cost of living request contained in the Coast Guard budget.

The current Operating Expenses base for the Health Care program is currently $70,000,000.

7. IMPROVE MANAGEMENT EFFECTIVENESS $2,945,000

Personnel:	POS	FTE
Military	18	9
Civilian	11	6

a. Corporate Database System $490,000

Funding and personnel are required to implement a Corporate Database (CDB) system that will improve management controls in the Coast Guard. The CDB is a computer application that allows executives and senior management to view summary information that has been extracted from programmatically diverse and physically separate data sources (DAFIS, PMIS, PALS, and Operations Abstracts). A pilot CDB has been developed that makes available summary financial and operational information in an easy-to-use graphic format. The CDB is designed to run on the Coast Guard Distributed Computing System architecture. Resources are now needed to expand the CDB to include personnel, capital assets, and program information, and to allow access to the CDB by field units, program managers, and fund managers.

Personnel:	POS	FTE
Civilian	1	1

No funding base exists for this initiative.

b. Centralize Oversight of Civil Penalty Process and Improve Collections $220,000

The Coast Guard civil penalty process is used to enforce a wide range of laws and regulations. A 1988 DOT Safety Review Task Force Report noted that the Coast Guard has a poor record of collecting penalties it assesses. The current lack of centralized oversight makes it difficult to determine how to use the civil penalty process to maximize effectiveness, and undermines the Coast Guard's law enforcement efforts. To correct the deficiencies cited in the task force report, funding is needed to establish the recommended oversight and to increase collection efforts. The new oversight task will involve the compilation and evaluation of information to track, and effectively coordinate, the myriad of enforcement activities nationwide. Centralized coordination, coupled with

7. IMPROVE MANAGEMENT EFFECTIVENESS (Con't)

b. Centralize Oversight of Civil Penalty Process and Improve Collections (cont.)

increased collection efforts, will increase the amount of money collected, enhance the credibility of Coast Guard law enforcement efforts, and promote compliance with the laws and regulations the Coast Guard enforces.

Personnel:	POS	FTE
Civilian	4	2

No funding base exists for this initiative.

c. Configuration Management and Shipboard Compliance $2,235,000

Configuration Management, Centralized Shipboard Supply, and Mandatory Allowances are three significant policy area changes under development to improve Coast Guard operations and logistics. The programs are focused at improving logistics so that resources are more readily available for operations. They are designed to correct current problems of excessive inventory costs, inaccurate record keeping, allowance lists and onboard repair parts inventories not matching a cutter's configuration, and the lack of fiscal control over expenditures and repair parts inventories. Without improvement in the current state of Coast Guard logistics, the readiness of the fleet will be jeopardized. To ensure the success of the new polices, personnel resources are requested to perform critical implementation and monitoring functions. The most critical element of ensuring data continuity is the process that monitors equipment installations and change report submissions. The same personnel will ensure compliance with these policies during a cutter's operational life by monitoring performance.

Personnel:	POS	FTE
Military	18	9
Civilian	6	3

No funding base exists for this initiative.

Acquisition, Construction, and Improvements

For necessary expenses of acquisition, construction, rebuilding, and improvement of aids to navigation, shore facilities, vessels, and aircraft, including equipment related thereto, [$445,500,000, of which $7,500,000 shall be derived by transfer from "Operating expenses"] *$419,536,000,* to remain available until September 30, [1994, of which $132,700,000 shall be available to acquire, repair, renovate or improve vessels, small boats and related equipment; $204,200,000 shall be available to acquire new aircraft and increase aviation capability; $15,900,000 shall be available for command, control and communications and related systems; $71,100,000 shall be available for shore facilities and aids to navigation facilities; and $21,600,000 shall be available for personnel, survey and design, and related costs: *Provided*, That the Secretary of Transportation shall issue regulations requiring that written warranties shall be included in all contracts with prime contractors for major systems acquisitions of the Coast Guard: *Provided further*, That any such written warranty shall not apply in the case of any system or component thereof that has been furnished by the Government to a contractor: *Provided further*, That the Secretary of Transportation may provide for a waiver of the requirements for a warranty where: (1) the waiver is necessary in the interest of the national defense or the warranty would not be cost effective; and (2) the Committees on Appropriations of the Senate and the House of Representatives, the Committee on Commerce, Science, and Transportation of the Senate, and the Committee on Merchant Marine and Fisheries of the House of Representatives are notified in writing of the Secretary's intention to waive and reasons for waiving such requirements: *Provided further*, That the requirements for such written warranties shall not cover combat damage: *Provided further*, That the unexpended balances of the appropriation "Coast Guard Shore Facilities" shall be transferred to and merged with this appropriation, and remain available for obligation until September 30, 1993] *1995. (Department of Transportation and Related Agencies Appropriations Act, 1990.)*

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

Program and Financing (in thousands of dollars)

Identification code: *69-0240-0-1-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Program by activities:			
Direct Program:			
00.01 Search and rescue	64,606	76,500	74,020
00.02 Aids to navigation	53,180	63,020	61,850
00.03 Marine safety	9,869	11,700	11,600
00.04 Marine environmental protection	26,192	31,300	26,060
00.05 Enforcement of laws and treaties	205,242	243,180	239,370
00.06 Ice operations	7,592	9,000	9,290
00.07 Defense readiness	12,906	15,300	15,810
00.91 Total direct program	379,587	450,000	438,000
01.01 Reimbursable program	30,840	31,000	31,000
10.00 Total obligations	410,427	481,000	469,000
Financing:			
11.00 Offsetting collections from: Federal funds	-30,840	-31,000	-31,000
21.40 Unobligated balance available, start of year	-80,083	-135,407	-129,571
24.40 Unobligated balance available, end of year	135,407	129,571	111,107
25.00 Unobligated balance lapsing	889	....	....
39.00 Budget authority	435,800	444,164	419,536

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
Program and Financing (in thousands of dollars), p.2

Identification code: *69-0240-0-1-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Budget Authority:			
40.00 Appropriation	445,300	438,000	419,536
40.00 Reduction pursuant to P.L. 101-164..	....	-1,314	....
41.00 Transferred to other accounts	-9,500	....	....
42.00 Transferred from other accounts	....	7,478	....
43.00 Appropriation (adjusted)	435,800	444,164	419,536
Relation of obligations to outlays:			
71.00 Obligations incurred, net	379,587	450,000	438,000
72.40 Obligated balance, start of year	511,292	556,588	632,830
74.40 Obligated balance, end of year	-556,588	-632,830	-665,830
77.00 Adjustments in expired accounts	765	....	....
90.00 Outlays	335,056	373,758	405,000
Distribution of budget authority by account:			
Acquisition, construction and improvements	385,500	444,164	419,536
Coast Guard shore facilities	50,300	....	....
Distribution of outlays by account:			
Acquisition, construction and improvements	332,134	373,758	405,000
Coast Guard shore facilities	2,922	....	....

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
Program and Financing (in thousands of dollars), p.3

Identification code: *69–0240–0–1–403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*

NOTES:

The amount in 1990 for budget authority transferred from Operating Expenses, set by the appropriation language above, was reduced by P.L. 99–177.

$7,000 thousand in budget authority in 1991, traditionally funded in this account for dedicated marine environmental protection activities is included in the Coast Guard Environmental Compliance and Restoration Account. Comparable amounts for 1989 ($4,000 thousand) and 1990 ($2,891 thousand) are included above.

COAST GUARD -- Acquisition, Construction, and Improvements

PROGRAM AND PERFORMANCE

The Acquisition, Construction, and Improvements (AC&I) appropriation provides for the major acquisition, construction, and improvement of vessels, aircraft, information management resources, shore units, and aids-to-navigation. AC&I projects are those in which estimated costs are $200 thousand or more and in which the project involves either new construction or renewal of at least 75 percent of the original facility. Most of the facilities financed by this appropriation are multi-mission in nature and are required by the Coast Guard in the performance of its operational and regulatory missions.

Vessels.-- During 1991, funding is requested to continue the major renovation of the 378-foot high endurance cutters, and continue the renovation of the 210-foot medium endurance cutters, and the 180-foot oceangoing buoy tenders. These programs enhance Coast Guard's critical multimission capabilities by improving overall readiness and maintenance posture.

Aircraft.-- During 1991, continuing progress will be made in acquiring replacement aircraft and aircraft sensors to enhance search and rescue and law enforcement missions. Funds to replace medium range law enforcement helicopters operating in the waters of the southeastern U.S. are requested. Improvements to the HH-65 helicopter will continue. Acquisition of the TALON System for helicopters landing aboard ship will be continued.

Command, Control, and Communications.-- In 1991, funding will be used for new management information system replacements and upgrades which include the Marine Safety Information System, Vessel Identification System, Personnel Management Information System/Joint Uniform Pay System (PMIS/JUMPS), and Law Enforcement Information System. Also in 1991, funding will be used to continue necessary hardware and software modifications for the Global Positioning System, and to complete the computer replacement at the Aircraft Repair and Supply Center.

Shore Facilities.-- In 1991, procurement of shore facility projects will include new construction, renovations, improvements, and replacements of existing facilities. These projects range from Search and Rescue station rehabilitations and moorings improvements to a service-wide program to improve Coast Guard housing units.

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
Object Classification (in thousands of dollars)

Identification code: *69-0240-0-1-403*		*1989 actual*	*1990 estimate*	*1991 estimate*
	Direct obligations:			
	Personnel compensation:			
11.1	Full-time permanent	7,148	7,273	8,640
11.3	Other than full-time permanent	22	22	27
11.5	Other personnel compensation	160	149	177
11.7	Military personnel	10,379	10,712	12,726
11.9	Total personnel compensation	17,709	18,156	21,570
12.1	Civilian personnel benefits	1,192	1,279	1,520
12.2	Military personnel benefits	902	965	1,146
21.0	Travel and transportation of persons	2,616	2,710	2,799
22.0	Transportation of things	575	596	580
23.3	Communications, utilities, and miscellaneous charges	670	694	717
24.0	Printing and reproduction	140	145	141
25.0	Other services	45,003	46,623	45,364
26.0	Supplies and materials	47,017	49,500	48,163
31.0	Equipment	246,115	274,500	262,648
32.0	Lands and structures	17,648	54,832	53,352
99.0	Subtotal, direct obligations	379,587	450,000	438,000
99.0	Reimbursable obligations	30,840	31,000	31,000
99.9	Total obligations	410,427	481,000	469,000

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
Personnel Summary

Identification code: *69-0240-0-1-403*	*1989 actual*	*1990 estimate*	*1991 estimate*
Military:			
Total number of full-time permanent positions	330	387	403
Total compensable workyears: Full-time equivalent employment	327	359	395
Civilian:			
Total number of full-time permanent positions	224	230	238
Total compensable workyears: Full-time equivalent employment	195	227	231
Full-time equivalent of overtime and holiday hours	3	3	3

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Digest of Budget Estimates by Activities for Fiscal Year 1991
(Dollars in thousands)

Appropriation: Acquisition, Construction, and Improvements

	1989 Actual		1990 Estimate		1991 Estimate	
	Full-time perm. pos.	Amount[1/]	Full-time perm. pos.	Amount[1/]	Full-time perm. pos.	Amount[1/]
Program by activities:						
1. Search and Rescue		74,173		75,508		70,898
2. Aids to Navigation		61,056		62,183		59,249
3. Marine Safety		11,331		11,548		11,096
4. Marine Environmental Protection		30,070		31,091		24,978
5. Enforcement of Laws and Treaties		235,637		239,849		229,268
6. Ice Operations		8,716		8,883		8,901
7. Defense Readiness		14,817		15,102		15,146
Total appropriation or estimate	554	435,800[2/]	617	444,164	641	419,536
(Military)	(330)	...	(387)	...	(403)	...
(Civilian)	(224)	...	(230)	...	(238)	...

[1/] Amounts shown represent a programmatic distribution of funds appropriated for each year. Therefore, they may not correspond to the amounts on lines 00.01-00.07 of the Program and Financing schedule, which consist of direct obligations of both prior year and current year appropriated funds.

[2/] Includes $50,300,000 appropriated for Coast Guard Shore Facilities in the 1989 Military Construction Appropriation Act.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
FY 1991 Acquisition, Construction, and Improvements: 69-0240-0-1-403
(Dollars in thousands)

	PAGE NUMBER	TOTAL REQUEST
I. **VESSELS**:		
A. **ACQUIRE VESSELS AND EQUIPMENT**:		
1. OCEANGOING BUOY TENDER (WLB) REPLACEMENT PROJECT..	66	2,200
2. 44-FT MOTOR LIFEBOAT (MLB) REPLACEMENT PROJECT....	67	1,000
3. PATROL BOAT CAPABILITY REPLACEMENT ACQUISITION PROJECT..	68	5,500
4. COASTAL BUOY TENDER (WLM) REPLACEMENT PROJECT.....	69	3,100
5. CONSTRUCTION OF ATON BARGES - NINTH DISTRICT......	70	6,400
6. ACQUISITION OF REPLACEMENT BUOY BOATS.............	71	5,600
7. TACTICAL DATA INFORMATION SYSTEM..................	72	1,800
B. **REPAIR, RENOVATE OR IMPROVE EXISTING VESSELS AND SMALL BOATS**:		
1. 378-FOOT HIGH ENDURANCE CUTTER (WHEC) FLEET RENOVATION AND MODERNIZATION......................	73	78,200
2. 210-FOOT MEDIUM ENDURANCE CUTTER (WMEC) MAJOR MAINTENANCE AVAILABILITY..........................	74	32,500
3. SERVICE LIFE EXTENSION PROJECT (SLEP).............	75	20,000
4. POLAR CLASS ICEBREAKER RELIABILITY IMPROVEMENT PROJECT (RIP) - PHASE III.........................	76	2,700
5. 378-FOOT HIGH ENDURANCE CUTTER (WHEC) WEAPONS SYSTEM MODERNIZATION.............................	77	3,200
SUBTOTAL, VESSELS.............................		162,200
II. **AIRCRAFT**:		
A. **ACQUIRE NEW AIRCRAFT AND INCREASE AVIATION CAPABILITY** :		
1. TALON SYSTEM FOR SHIPBOARD HELICOPTER TIEDOWN - PHASE II..	78	9,800
2. HH-60 MEDIUM RANGE RECOVERY (MRR) HELICOPTER REPLACEMENT......................................	79	34,300
3. HH-65 SHORT RANGE RECOVERY (SRR) HELICOPTER SUPPLEMENTAL SPARES - PHASE II..................	80	7,700
4. HU-25 MEDIUM RANGE SEARCH (MRS) AIRCRAFT ENGINE IMPROVEMENTS - PHASE II.........................	81	3,500
5. HH-65 LTS-101 ENGINE REPLACEMENT..................	82	6,500
6. MEDIUM RANGE HELICOPTER - OPBAT - PHASE I.........	83	45,000
7. AIRCRAFT COCKPIT VOICE RECORDERS (CVRs) AND FLIGHT DATA RECORDERS (FDRs) - PHASE I...........	84	3,500
SUBTOTAL, AIRCRAFT............................		110,300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
FY 1991 Acquisition, Construction, and Improvements: 69-0240-0-1-403
(Dollars in thousands)

	PAGE NUMBER	TOTAL REQUEST
III. COMMAND, CONTROL AND COMMUNICATIONS AND RELATED SYSTEMS:		
1. REPLACE AIRCRAFT REPAIR AND SUPPLY CENTER (AR&SC) COMPUTER - PHASE III	85	1,500
2. GLOBAL POSITIONING SYSTEM INSTALLATION - PHASE II	86	1,600
3. CONFIGURATION MANAGEMENT	87	6,000
4. ALASKA - UPGRADE NORTHERN PACIFIC LORAN-C STATIONS - PHASE I	88	6,000
5. MARINE SAFETY INFORMATION SYSTEM REPLACEMENT (MSIS II)	89	2,500
6. COMPUTER FOR SERVICE RECORD AUTOMATION	90	1,200
7. VESSEL IDENTIFICATION AND DOCUMENTATION SYSTEM (VIDS)	91	2,200
8. LAW ENFORCEMENT INFORMATION SYSTEM IMPROVEMENTS	92	1,800
9. PERSONNEL MANAGEMENT INFORMATION SYSTEM/JOINT UNIFORM MILITARY PAY SYSTEM II	93	1,700
SUBTOTAL, COMMAND, CONTROL COMMUNICATIONS AND RELATED SYSTEMS		24,500
IV. SHORE FACILITIES AND AIDS TO NAVIGATION FACILITIES:		
A. SHORE - GENERAL:		
1. MINOR AC&I SHORE CONSTRUCTION PROJECTS	94	9,000
2. RELOCATE INTELLIGENCE COORDINATION CENTER TO NAVAL INTELLIGENCE COMMAND FACILITY	95	1,800
3. NATIONAL STRIKE FORCE EQUIPMENT	96	7,000
B. SHORE - AIR STATIONS:		
1. KODIAK, AK - AIR STATION RAMP-HANGAR PAVEMENT	97	2,700
2. CHARLESTON, SC - ESTABLISH AIR FACILITY	98	2,700
C. SHORE - SUPPLY CENTERS/ SUPPORT CENTERS/YARD:		
1. ELIZABETH CITY, NC - SUPPORT CENTER HH-60J TRAINING FACILITY	99	2,100
2. KODIAK, AK - SUPPORT CENTER FIRE STATION	100	4,200
3. KODIAK, AK - SUPPORT CENTER NEMETZ PARK ROADS AND GROUNDS IMPROVEMENTS	101	3,000
4. BALTIMORE, MD - COAST GUARD YARD - UPGRADE MECHANICAL SHOPS	102	3,700
5. BALTIMORE, MD - REPLACE YARD PORTAL CRANE #2	103	2,000
6. NEW YORK, NY - SUPPORT CENTER HEALTH CARE FACILITY	104	7,600

DEPARTMENT OF TRANSPORTATION
COAST GUARD
FY 1991 Acquisition, Construction, and Improvements: 69-0240-0-1-403
(Dollars in thousands)

	PAGE NUMBER	TOTAL REQUEST
IV. SHORE FACILITIES AND AIDS TO NAVIGATION FACILITIES (CONT):		
D. SHORE - TRAINING CENTERS:		
1. MOBILE, AL - AVIATION TRAINING CENTER HH-60J SIMULATOR FACILITY	105	1,200
E. SHORE - PERSONNEL SUPPORT FACILITIES:		
1. PUBLIC FAMILY QUARTERS	106	13,500
F. SHORE - GROUP/BASES/STATIONS/MSOS:		
1. BURLINGTON, VT - REPLACE STATION BURLINGTON	107	3,500
2. NEW SMYRNA BEACH, FL - REHABILITATE STATION PONCE DE LEON INLET	108	2,000
3. EAST TAWAS, MI - REBUILD STATION TAWAS - PHASE II.	109	1,400
4. CHINCOTEAGUE, VA - GROUP EASTERN SHORE RENOVATION - PHASE III	110	4,200
5. KEY WEST, FL - CONSTRUCT VESSEL SUPPORT BUILDING	111	1,200
6. ILWACO, WA - RENOVATE CAPE DISAPPOINTMENT FACILITIES	112	3,200
7. KETCHIKAN, AK - BASE KETCHIKAN STORAGE FACILITY	113	3,000
G. AIDS TO NAVIGATION FACILITIES:		
1. WATERWAYS AIDS-TO-NAVIGATION PROJECTS	114	7,000
SUBTOTAL, SHORE FACILITIES AND AIDS TO NAVIGATION FACILITIES		86,000
V. PERSONNEL, SURVEY AND DESIGN, AND RELATED SUPPORT:		
1. PERSONNEL AND RELATED COSTS	115	30,536
2. SURVEY AND DESIGN OF CUTTERS AND BOATS	116	1,000
3. SURVEY AND DESIGN OF VARIOUS SHORE PROJECTS	117	5,000
SUBTOTAL, PERSONNEL, SURVEY AND DESIGN, AND RELATED SUPPORT		36,536

SUMMARY AC&I:

I. VESSELS	162,200
II. AIRCRAFT	110,300
III. COMMAND, CONTROL AND COMMUNICATIONS RELATED SYSTEMS	24,500
IV. SHORE FACILITIES AND AIDS TO NAVIGATION	86,000
V. PERSONNEL, SURVEY AND DESIGN, AND RELATED SUPPORT	36,536
TOTAL, FY 1991 AC&I REQUEST	419,536

NOTE: Estimated future costs and planned operational staffing figures shown on the following sheets are Coast Guard planning figures and do not necessarily reflect approved budget estimates.

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE OCEANGOING BUOY TENDER (WLB) REPLACEMENT PROJECT		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $2,200,000

Reason for Request: To continue the project initially funded in FY 1987 to replace the capabilities of the existing seagoing buoy tender (WLB) fleet.

Description of Problem or Need: WLBs service coastal and offshore portions of the Aids-to-Navigation (ATON) system where smaller units cannot work. Having undergone at least one major renovation or service life extension, the remaining WLBs (all of which are over 40 years old) will reach the end of their service lives by 1994. Additional extensions are no longer economical. WLBs are experiencing increased maintenance, support, structural, and mechanical problems. Crew habitability is below reasonable, modern standards.

Description of Solution: The process of developing competing designs was begun in FY 1989. In FY 1990, a limited number of contractors will be selected to each develop a contract design. One of these contractors will be awarded a contract in FY 1992 to develop a detailed design and to construct the lead ship. Also in mid-FY 1991, the Project Resident Office will be staffed to assist with source selection. Once satisfied that the lead ship meets all requirements, the Coast Guard can exercise an option on the lead ship contract to build up to four additional ships. A solicitation for the full production of the remaining vessels needed to complete the class, based on the lead ship design, is planned to be issued in FY 1995.

Benefits: This project provides resources to meet short range ATON needs in exposed and semi-exposed locations into the next century. Its completion will enable the Coast Guard to meet its statutory responsibility to maintain an accurate and reliable ATON system. Cutter availability will increase due to reliability improvements; overall fleet manning levels may be reduced, resulting in reduced operating costs. Greater equipment standardization will simplify logistics, maintenance, and training requirements.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT..	4	2	44	---	50
PLANNED..	4	2	34	---	40*

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
WLB/WLM Feasibility Studies/Concept design........................	1989	3,200**
WLB Contract Design Development..................................	1990	3,190***

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	2,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT..............................	349,550****
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY.............................	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Project Resident Office startup and operation............	LS	---	400
2.	Project operations, including training, travel and general administration..................................	LS	---	200
3.	Support services contracts...............................	LS	---	1,600
		TOTAL		2,200

NOTES: *Crew size for each replacement WLB, subject to change when actual design is selected.

**Funds appropriated prior to FY 1990 were for project to replace both WLB and WLM classes.

***Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

****Outyear costs are uncertain until contract designs are completed.

DEPT. OF TRANSP., USCG, CGHQ-4355 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
44-FT MOTOR LIFEBOAT (MLB) REPLACEMENT PROJECT	VARIOUS	$1,000,000

Reason for Request: To continue a multi-year program started in FY-1988 to replace the Coast Guard's aging fleet of 105 44-ft MLBs. This phase will continue the prototype developmental testing started in FY 1990 and begin the operational evaluation of 5 pre-production boats.

Description of Problem or Need: The present resource, the 44-ft MLB, has been in use since 1962. It shows signs of material deterioration expected of a vessel nearing the end of its service life, and is also becoming logistically unsupportable. A replacement craft with similar operational capabilities but with increased speed, more crew comfort, and better ride characteristics is being developed to provide a continued heavy weather and surf Search and Rescue (SAR) capability.

Description of Solution: A contract was awarded in November 1988 for the contract design and construction of a prototype motor lifeboat replacement. Following a successful prototype evaluation, the Coast Guard will execute a contract option in FY 1990 for the construction of 5 pre-production boats, incorporating modifications recommended during the prototype evaluation. The 5 pre-production boats will be evaluated under operating conditions at MLB stations in the Northwest, Northeast, and Middle Atlantic coastal areas starting in FY 1991. Design changes recommended during the pre-production evaluation will be incorporated into the full production replacement specification. The full production construction contract is scheduled for award in FY 1992; construction will extend through FY 1997.

Benefits: The replacement boat will maintain the Coast Guard's capability to perform in-shore SAR in heavy weather and breaking surf conditions. Replacement boats will incorporate improvements to minimize crew fatigue and improve at-sea boarding for SAR and enforcement of laws and treaties applications, as well as increased speed for more effective SAR response. In those areas where hypothermia is a factor, speed is particularly beneficial. The replacement MLB will also reduce maintenance requirements and improve logistics support by providing a modern resource with an established central supply system.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT		NOT APPLICABLE			
PLANNED		NOT APPLICABLE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Prototype Design and Construction	1988	1,500
Project Support	1989	500
Prototype Testing/5 Boat Pre-Production Contract Option	1990	5,763*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	64,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Boat testing, design modification and project administration	LS	---	1,000

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4255 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE PATROL BOAT (WPB) CAPABILITY REPLACEMENT ACQUISITION PROJECT	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $5,500,000

Reason for Request: To evaluate the Heritage Class Patrol Boat (WPB) design to determine if it is the best available patrol boat to replace the WPB capability at the end of the existing cutter's service life.

Description of Problem or Need: All 82' and 95' WPBs will have reached or exceeded their service lives by 1992. The probability that cutters must be decommissioned before replacement hulls are available is high. The Candidate WPB Craft Study estimated a need for 96 WPBs based on geographic and program needs. The Island Class acquisition will provide 49 WPBs. The remainder of the fleet must be replaced due to age.

Description of Solution: Construct one prototype cutter. Perform both technical and operational evaluations during a period of up to two years. The design package will be updated to reflect the final configuration.

Benefits: The prototype evaluation will determine the "Best Boat" and will reduce technical problems and risk during full production. The new boat will reduce the maintenance and down time experienced with an aging fleet. The greater speed of the new boat will reduce time needed to perform intercept missions. Increased speed capability also reduces transit time to Search and Rescue scenes. Greater endurance will increase length of patrol capability to perform missions. Better seakeeping will improve mission performance in adverse weather.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT....................................82'	1	---	9	---	10
CURRENT....................................95'	1	---	13	---	14
PLANNED....................................	2	---	14	---	16

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Coastal Defense Augmentation Account (CDAA)........................	1986	18,000*

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	5,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT...............................	84,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY..............................	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	To complete construction of and test prototype cutter...	EA	1	5,500

NOTE: *CDAA funds: $4,000,000 reprogrammed to Fleet Renovation and Modernization (FRAM) Project in 1987 and $5,000,000 reprogrammed to FRAM Project in 1988.

DEPT. OF TRANSP., USCG, CGHQ-4365 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE COASTAL BUOY TENDER (WLM) REPLACEMENT PROJECT		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $3,100,000

Reason for Request: To replace the capabilities of the aging fleet of 133' and 157' coastal buoy tenders (WLMs).

Description of Problem or Need: The 157' and 133' WLM fleet is approaching the end of its service life, and with its lower maintainability and reliability is becoming less capable of meeting Short Range Aids-to-Navigation (SRA) mission requirements. To ensure future SRA requirements can be met, the first production replacement WLMs must enter service in FY 1997.

Description of Solution: FY 1991 activities include evaluation of proposals and award of up to a limited number of contract design contracts estimated at $850,000 each. One of these contractors will be awarded a contract in FY 1992 to develop a detailed design to construct the lead ship. Also in FY 1992, a Project Resident Office will be established. Once satisfied that the lead ship meets all requirements, the Coast Guard can exercise an option on the lead ship contract for up to four additional vessels. In FY 1996 the Coast Guard will award a contract for the full production of the remaining vessels needed to complete the class, based on the lead ship design.

Benefits: Replacements should eliminate projected degradation of the SRA system, reduce operational and maintenance costs by introducing reliable and efficient vessels, and reduce future facility management burdens. This project provides resources to meet SRA needs in coastal waters into the next century. Its completion will enable the Coast Guard to meet its statutory responsibility to maintain an accurate and reliable aids-to-navigation system.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT.....133'	---	1	23	---	24
CURRENT.....157'	2	2	28	---	32
PLANNED.....	---	1	23	---	24*

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
WLB/WLM Feasibility Studies/Concept design	1989	3,200**

SUMMARY ($000)

AMOUNT OF THIS REQUEST.....	3,100
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT.....	91,950***
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY.....	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Award contract design contracts.....	EA	3	2,550
2.	Review contract designs.....	LS	---	550
		TOTAL		3,100

NOTES: *Crew size for each replacement WLM, subject to change when actual design is selected.
**Funds appropriated prior to FY 1990 were for project to replace both WLB and WLM classes.
***Outyear costs are uncertain until contract designs are completed.

DEPT. OF TRANSP., USCG, CGHQ-[illegible] (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
CONSTRUCTION OF ATON BARGES - NINTH DISTRICT	VARIOUS	$6,400,000

Reason for Request: To cover Ninth District aids-to-navigation (ATON) barge project shortfall and increase Short Range Aids-to-Navigation (SRA) efficiency in the Ninth District. A two-year (1984-1986) experiment in the Ninth District proved that a Icebreaking Tug (WTGB)/barge combination could effectively replace the SRA capabilities of a 180-foot Seagoing Buoy Tender (WLB) in the protected and semi-protected areas of the Great Lakes.

Description of Problem or Need: The Coast Guard's WLBs, five of which are in the Ninth District, are overaged, increasingly unreliable, and in need of replacement. The five 140-foot WTGBs in the Ninth District have a seasonal workload, primarily icebreaking, which is complementary to the aids-to-navigation workload, i.e., the slack period for WTGBs occurs during the peak workload for the buoy tenders, and there is very little buoy tending necessary during the icebreaking season. This presents a unique opportunity to replace two WLBs by accomplishing ATON duties with barges in tandem with existing 140-foot icebreaking tugs. The original funding request for two barges was underestimated due to a flawed cost estimating model, and there are currently sufficient funds appropriated for only one barge. This request would allow the second barge to be built and will result in an estimated cost avoidance of greater than $40 million when compared with the cost of a replacement buoy tender.

Description of Solution: Build the second of two ATON barges which will be pushed by 140-foot WTGBs already assigned to the Great Lakes. The barge will be 120 feet in length, have a 50-foot beam, and a stern notch and coupling system for operation in tandem with the icebreaking tug. The barge will also include a bow thruster system for maneuverability, a crane with a rated 20-ton lifting capability, and appropriate auxiliary machinery. Austere temporary living accommodations for up to 14 people will be provided.

Benefits: This project will permit greater year-round utilization of two of the icebreaking tugs. It will also free one 180-foot seagoing buoy tender for permanent reassignment to a more critical area and replace another recently loss in marine casualty. This will alleviate some of the difficulties faced by the Coast Guard in meeting its statutory SRA responsibilities, caused by poor WLB reliability.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	4	2	42	---	48
PLANNED	---	---	9	---	9*

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Ninth District Aids-to-Navigation Barge	1989	6,500

SUMMARY ($000)

AMOUNT OF THIS REQUEST	6,400
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Construction of Ninth District barge #2	LS	---	6,400

Note: *Reflects additional personnel needed to augment existing crew to perform aids-to-navigation mission.

DEPT. OF TRANSP., USCG, CGHQ-4283 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE ACQUISITION OF REPLACEMENT BUOY BOATS	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $5,600,000

Reason for Request: To replace the existing fleet of 32 buoy boats, which were constructed from 1954 to 1962 and have reached the end of their service lives, with a total of 24 stern loading buoy boats. The anticipated improvements in speed and habitability will allow fewer boats to replace the existing fleet.

Description of Problem or Need: Seventeen bow loading buoy boats (45' BUs) have passed the end of their service lives, with four already removed from service because they were worn out. Fifteen stern loading buoy boats (46' BUSLs) reached the end of their service lives at the end of 1989. It now requires 2.98 hours of maintenance for every underway hour on the BU and between 4.2 and 4.5 hours of maintenance for every underway hour on the BUSL. A further increase in BU and BUSL maintenance hours will degrade service to the mariner. Habitability aboard BUs and BUSLs is below Coast Guard standards and has a negative impact on personnel performance. The bow loading boats were built before existing sanitary requirements and do not have adequate toilet facilities nor room for proper retrofit. The bow loading boat also has a well deck that is subject to flooding.

Description of Solution: Build a total of 24 new stern loading buoy boats over a five year period to replace both the bow loading buoy boats (BUs) and stern loading buoy boats (BUSLs). Seven new buoy boats will be built in FY 1991 with five per year to be built in FY 1992-1994 and two to be built in FY 1995. A conceptual design for the replacement of the 45' BU and 46' BUSL has been developed. The design will improve cargo handling, accommodations, and maneuverability, and will require less engineering maintenance than the existing boats.

Benefits: Replacement of these over-aged buoy boats and their technically obsolete equipment with more reliable propulsion systems will reduce maintenance costs and increase operational reliability. The replacement will have better seakeeping capability, increased speed, better crew accommodations, and better vessel reliability. Speeds will increase from 7-9 knots on the existing boats to 12 knots on the new boat, thereby, reducing response time. Maintenance will be reduced by replacing old unsupportable systems with modern equipment.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT..		NOT APPLICABLE			
PLANNED..		NOT APPLICABLE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations	---	---

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	5,600
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT.	13,600
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY...........................	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Construction of Buoy Boat hulls #1 - #7....................	EA	7	5,600

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE TACTICAL DATA INFORMATION SYSTEM		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $1,800,000

Reason for Request: To fund the development and installation on a 378' WHEC of a Tactical Data Information System (TACDIS) which includes: Desktop Tactical Computer-2/VIDS, Navy Interoperable Data Link, SPA 25(G) radar, Local Area Network, and Large Screen display.

Description of Problem or Need: Twelve 378' WHECs require a command, control, and communications system (C3) to process input from onboard air, surface, and subsurface sensors and to display targeting, tactical, and evaluated sensor information, in order to facilitate operational and tactical decision making. In addition, the WHEC 378's require replacement of the 40-plus year old analog driven Dead Reckoning Tracers (DRTs) which are mission essential to providing a geographic operations plotting capability, processing and displaying tactical information for law enforcement and military operations. Sixteen 210' WMECs require a C3 system to process input from nonship sensors such as aerostats, C3I centers, etc., to display position information, sensor evaluation, and recommendations to intercept potential drug law enforcement targets. The installation of highly complex weapons systems on our 378' WHECs, and the increased involvement of Navy platforms in the drug enforcement efforts, mandates that we provide an integrated, more reliable method of evaluating and disseminating information from a wide array of sources.

Description of Solution: The TACDIS project is a multi-year development and installation of a command, control, and communications system on Coast Guard 378' WHECs and 210' WMECs. First year funding will be primarily used to develop a C3 system and to replace the DRT capability; funding for FY 1992 through FY 1995 will be used to procure hardware and software for the system and to install 7 systems per year (3 - WHECs, 4 - WMECs) beginning in FY 1992 and will continue through FY 1995.

Benefits: Improved sensor input dissemination. Improved evaluation and targeting of air, surface, and subsurface contacts on 378' WHECs. Improved interoperability with the Navy. 210' WMECs will have improved capability to operate in support of law enforcement taskings.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	---	---	---	---	---
PLANNED	3	---	---	---	3

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
WHEC Plotting Table Replacement	1989	1500

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,800
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	36,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Development Costs for TACDIS	LS	---	1,800

DEPT. OF TRANSP., USCG, CGHQ-4255 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE 378-FOOT HIGH ENDURANCE CUTTER (WHEC) FLEET RENOVATION AND MODERNIZATION (FRAM)	NEAREST CITY & CONGRESSIONAL DISTRICT BATH, ME - 1ST SEATTLE, WA - 1ST	AMOUNT REQUESTED $78,200,000	

Reason for Request: To continue the Fleet Renovation and Modernization (FRAM) Program including the last 378-foot WHEC.

Description of Problem or Need: Twelve 378-foot WHECs, built between 1965 and 1971, have reached the mid-point of their useful service lives. They are experiencing a declining reliability and an increasing ratio of maintenance days to operational days. The main propulsion plant and associated machinery are not standard, creating fleet-wide training and logistics problems. Many electronic sensors and some communications and weapons systems are obsolete, making logistics support difficult. There are presently 4 subclasses of 378-foot WHECs. The 378-foot cutter has a beam of 43 feet, a draft of 15 feet and displacement of 3,000 tons. It has the ability to steam on 2 main diesel engines at a maximum speed of 18 knots or on 2 gas turbine engines at speeds of up to 29 knots. It has a maximum range of 14,000 miles at an economical speed of 11 knots.

Description of Solution: The proposed FRAM will modify and add equipment to better suit the WHECs to their present employment in law enforcement and military preparedness. It will modernize and standardize the engineering plant and equipment already onboard. It will provide a greatly enhanced capability in communications, point defense data acquisition, undersea detection, and electronic support measures, all of which have both peacetime and wartime applications. FRAM is being accomplished in commercial shipyard facilities; one on the East Coast and one on the West Coast.

Benefits: The result of the renovation will be a cutter that is much more reliable and mission capable for the remainder of its service life. Standardization of the class will simplify logistics, maintenance, and training. Improved reliability will result in an expected 10% increase in operational days away from homeport.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	11	4	143	---	158
PLANNED	13	4	154	---	171

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
378-Foot WHEC FRAM #1 (Partial)	1982	15,000
378-Foot WHEC FRAM #1 (Partial) and 2	1984	67,138
378-Foot WHEC FRAM #3 and 4 (Partial)	1985	73,350
378-Foot WHEC FRAM #4 (Partial) and 5 (Partial)	1986	55,750
378-Foot WHEC FRAM #5 (Partial) 6, 7 and 8 (Partial)	1987	123,000
378-Foot WHEC FRAM #8 (Partial) 9, 10 and 11	1988	139,000
Anti-Drug Abuse Act of 1988	1989	31,000
378-Foot WHEC FRAM	1989	79,000
378-Foot WHEC FRAM	1990	96,709*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	78,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	7,800
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Provide for known and anticipated cost adjustments for cutters undergoing FRAM through FY 1991 (including notification for Hull #12)	LS	---	78,200

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4363 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE	210-FOOT MEDIUM ENDURANCE CUTTER (WMEC) MAJOR MAINTENANCE AVAILABILITY (MMA)	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $32,500,000

Reason for Request: To continue the 210-foot Medium Endurance Cutter (WMEC) Major Maintenance Availability (MMA) program on cutters A-5, B-3, B-4 and B-5.

Description of Problem or Need: Sixteen 210-foot WMECs were built from 1963 to 1968. Main propulsion machinery and auxiliary equipment are non-standard, creating logistics and training problems. Habitability and reliability have declined over the years, and maintenance costs on original equipment are excessive. Two of the sixteen cutters are homeported on the West Coast, and the remainder are on East and Gulf Coasts.

Description of Solution: This multi-year project involves performing a major maintenance availability to provide increased fuel and water capacity, as well as improved damage control and seakeeping capabilities. The 5 "A" class cutters are being reengined. Electrical systems are being upgraded, auxiliary equipment standardized, the radio room modernized and berthing improved. The 5 "A" Class (A-1 thru A-5) and the last nine "B" Class (B-3 thru B-11) cutters are being overhauled in the Coast Guard Yard at Curtis Bay, shipyard facility. The first "A" Class cutter (A-1) was completed in FY 1987, the second entered the Coast Guard Yard in FY 1989, and was completed in FY 1990. The fifth "A" class cutter (A-5) entered the Coast Guard Yard in FY 1990. The first "B" class cutter (B-1) was completed in FY 1989 and the second (B-2) in FY 1990.

Benefits: This program will ensure that this class of cutter will remain mission capable and supportable for the remainder of its service life. Overhaul replacement and standardization of machinery will increase maintenance reliability. Improvements in onboard equipment and stability will enhance the vessels' mission performance.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT..	7	1	63	---	71*
PLANNED..			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
210-foot WMEC MMA Long Lead Time Materials (LLTM)..................	1983	16,000
210-foot WMEC MMA LLTM, Cutter A-1 (Partial), Production Material.	1984	34,300
210-foot WMEC MMA LLTM, Cutter A-1 and A2 (Partial), Production Material..	1985	15,050
210-foot WMEC MMA LLTM, Cutter A-2 (Partial), B-1 (Partial), B-2 (Partial), Production Material..............................	1986	25,500
210-foot WMEC MMA LLTM, Cutter A-2 (Partial), A-3 (Partial), B-1 (Partial), B-2 (Partial), B-3 (Partial), Production Material	1987	11,300
210-foot WMEC MMA Cutter A-2 (Partial), A-3 (Partial), B-1 (Partial), B-2 (Partial), B-3 (Partial), Production Material	1988	31,500
210-foot WMEC MMA Cutter A-3 (Partial), A-4 (Partial), B-1 (Partial), B-2 (Partial), B-3 (Partial) Production Material.	1989	30,500
210-foot WMEC MMA Cutter A-4 (Partial), A-5 (Partial), B-3 (Partial), B-4 (Partial), Production Material...............	1990	7,976**

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	32,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT................................	159,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY...............................	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Production costs: cutters A-5 (Partial), and B-3..	LS	--	21,500
2.	Supply Center Curtis Bay provisioning/LLTM...............	LS	--	11,000
		TOTAL		32,500

NOTES: * Personnel Allowance for each 210-foot WMEC.
** Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4865 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
SERVICE LIFE EXTENSION PROJECT (SLEP)	**BALTIMORE, MD - 3RD**	**$20,000,000**

Reason for Request: To provide funds for completion of the 180-foot Seagoing Buoy Tender (WLB) SLEP program on vessels #8 and #9.

Description of Problem or Need: These hulls are the last two planned WLB SLEPs and are critical to maintaining a reliable fleet of seagoing buoy tenders until the replacement fleet can be designed and constructed. While the hulls are sound, (average age 45 years) major machinery systems are in poor condition and difficult to maintain. Operating costs and losses in operational days are excessive.

Description of Solution: SLEP is an interim measure intended to extend WLB service life by 15 to 20 years, thus avoiding the block obsolescence of the fleet pending delivery of replacements. During the renovation, obsolete equipment (electrical, heating, piping, etc.) is renewed or overhauled, new equipment (main engines, computerized propulsion control, hydraulic weight handling system, bow thruster, etc.) is installed and habitability is improved.

Benefits: The SLEP program ensures that the maximum possible service is extracted from the present hulls and that the existing seagoing buoy tenders remain safe and mission reliable until replacement buoy tenders are delivered. Excessive operating expenses will be reduced. Maneuverability, safety, and habitability will be improved. SLEP WLBs will provide an orderly transition to the final service force mix of buoy tenders determined by the ongoing WLB Replacement Project.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	4	2	42	---	48*
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Service Life Extension Project	1985	18,000
Service Life Extension Project	1986	14,100**
Service Life Extension Project	1990	3,190***

SUMMARY ($000)

AMOUNT OF THIS REQUEST	20,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Complete Service Life Extension of hull #8	LS	---	6,000
2.	Complete Service Life Extension of hull #9	LS	---	14,000
		TOTAL		20,000

Notes: *Typical personnel allowance for 180-foot WLB
**Funded from Coastal Defense Augmentation Account (DOD)
***Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4351 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
POLAR CLASS ICEBREAKER RELIABILITY IMPROVEMENT PROJECT (RIP) - PHASE II	SEATTLE, WA - 1ST	$2,700,000

Reason for Request: To provide funding for the second of a five year phased project to restore the operational reliability of the Polar Class icebreakers to ensure that they remain serviceable and operational for the remainder of their design service lives.

Description of Problem or Need: A number of shipboard systems are suffering from original design deficiencies and/or are reaching the end of their system service life, are harder to maintain, require more frequent and extensive maintenance, and are escalating in cost. If not addressed in the RIP program, these problems will render the Polar Class icebreakers operationally unreliable by the mid-1990s. As the nation's only two polar icebreakers, the ability to reliably operate these ships -- often independently -- in the polar regions is critical to this nation's vital interests. Unreliable ships jeopardize the accomplishment of critical defense and other national-interest polar missions, put the ship and crew in peril, and result in very expensive crisis mode repairs. POLAR STAR was commissioned in 1976 and POLAR SEA was commissioned in 1978.

Description of Solution: Implement corrective actions recommended by the 1986 Machinery Evaluation Board (MEB). Long material lead times and design and contracting requirements require a five-year phased program. Design work is being accomplished with existing survey and design funds. Due to tight scheduling considerations, actual work will be accomplished through a phased program during normal or slightly extended maintenance periods. Work will be done on engines, hydraulic systems, generators, pumps, HVAC systems, and structural components. The major work items on the second ship will follow one year behind the lead ship.

Benefits: The Polar Class icebreakers will be able to achieve their originally projected service lives with maintenance requirement levels remaining fairly constant. Reliability will be restored, and mission requirements will be met. Safety, habitability, and utility to user groups will be improved.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	9	5	126	---	140
PLANNED			NC CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Polar Class Icebreaker RIP	1990	1,296*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	17,800
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Install bilge stripping system	LS	---	750
2.	Improve sea chests	LS	---	1,950
	TOTAL			2,700

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4355 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE	378-FOOT HIGH ENDURANCE CUTTER (WHEC) WEAPONS SYSTEM MODERNIZATION	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $3,200,000

Reason for Request. To continue the multi-year project to install the MK-15 Close-In-Weapon-System (CIWS) and MK-141 HARPOON Missile Systems for twelve 378' WHEC's. Four installations will have been completed by August 1990. The final Installation is scheduled for completion in November 1993.

Description of Problem or Need. The twelve 378's were constructed from 1965 through 1972. During Fleet Renovation and Modernization (FRAM), the 378's are being refitted with logistically supportable systems having similar capabilities to the original equipment. These vessels have inadequate offensive and defensive capabilities in view of modern naval warfare scenarios. Under the existing Memorandum of Agreement (MOA), OPNAVINST 4000.79A, and an agreement at the Navy/Coast Guard (NAVGARD) Board meeting of November 15, 1984, the Coast Guard is committed to funding the installation of the systems which will be provided by the Navy.

Description of Solution. Install HARPOON and CIWS. (Fund one cutter in FY 1991 and the remaining seven in FY 1992 and FY 1993.)

Benefits. Cutters will be properly equipped to perform wartime functions as escort ships in accordance with Department of Defense contingency plans.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	---	---	41	---	41
PLANNED	---	---	53*	---	53

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Install Navy Weapons Systems on one 378' WHEC	1989	3,000
Install Navy Weapons Systems on three 378' WHECs'	1990	9,970**

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	22,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Install Navy Weapons Systems on 378' WHEC's	EA	1	3,200

NOTE: *Represents additional personnel needed as a result of weapons systems modernization. Includes personnel for all twelve (12) 378' WHECs plus maintenance and training personnel.

**Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, [illegible] (REV. [illegible])
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
TALON SYSTEM FOR SHIPBOARD HELICOPTER TIEDOWN - PHASE II	VARIOUS	$9,800,000

Reason for Request: To continue the multi-year procurement and installation of the TALON System for flight deck-equipped cutters and HH-65A Helicopters.

Description of Problem or Need: The HH-65 Short Range Recovery (SRR) helicopter has a rotor tip clearance which can drop as low as 5'2", thus creating a safety hazard on all flight deck-equipped cutters. On the 270' Medium Endurance Cutter, the problem is particularly acute since the tiedown crew must use the most dangerous forward approach to the aircraft where the lowest point of the rotor tip path exists. On the 210' Medium Endurance and 378' High Endurance Cutters, tiedown crews are required to man flight deck safety nets during ship/helo operations. An increased requirement for TALON has developed as a result of plans to mount the Phalanx Close-In-Weapons-System (CIWS) on the stern of 378' cutters. Helos will be required to land 30 degrees off the ship's center axis on CIWS-equipped 378s, performing a turn in a low hover to align on the ship's axis. To improve the safety of this dangerous manuever, helo operations will not be conducted on CIWS-equipped 378s without operational TALON systems to preclude redesign of the tiedown layout or reduction of the operational envelope.

Description of Solution: TALON is a passive restraining system that will eliminate the need for flight deck personnel to be in the safety nets, and will reduce dangers involved with emergency landings and crashes. TALON consists of three parts: (1) fixed helicopter portion, (2) removable helicopter portion, and (3) fixed shipboard grid. The fixed helicopter portion consists of modifications to the HH-65A to accommodate the system. The removable helicopter portion is a hydraulic probe that attaches to a fixed shipboard grid upon landing.

Benefits: (a) Decrease the potential of a personnel casualty due to low rotor tip path of the shipboard deployed SRR, (b) release four personnel for other shipboard duties during flight operations, (c) eliminate the need to redesign the tiedown layout or reduce the operational envelope on CIWS-equipped 378s, and (d) reduce potential for helicopter or cutter damage during ship helo operations.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT			NOT APPLICABLE		
PLANNED			NOT APPLICABLE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Prototype system/non-recurring engineering	1984	16,900*
Phase I (Grids, Helo Kits, Probes)	1990	7,079**

SUMMARY ($000)

AMOUNT OF THIS REQUEST	9,800
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	6,300
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Ship grid hardware and installations	EA	25	5,500
2.	Helo kit hardware and installations	EA	30	2,900
3.	Helo probes	EA	23	1,400
		TOTAL		9,800

NOTE: *Of this amount, $13,800,000 was redirected to fund other FY 1987 Coast Guard AC&I requirements.
**Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4385 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
HH-60 MEDIUM RANGE RECOVERY (MRR) HELICOPTER REPLACEMENT PROGRAM (+SIMULATOR)	VARIOUS	$34,300,000

Reason for Request: To procure Engineering Change Orders (ECO's), training devices, support equipment and related support services for the HH-60J Medium Range Recovery (MRR) helicopter.

Description of Problem or Need: The Coast Guard fleet of HH-3F helicopters was procured between 1969 and 1973 with a life expectancy of 15-20 years. All HH-3F aircraft are quickly approaching the end of their economic service lives and require increased depot and field level maintenance. The HH-3F aircraft has experienced increased corrosion (sponson attachment fitting, tail rotor pylon forging, etc.) and major component failures/replacements (engine accessory drives, main gear box, etc.). A declining logistic support system further compounds maintenance problems for this out-of-production aircraft as DOD phases out its own fleet of HH-3s.

Description of Solution: This project is part of a multi-year program to replace the HH-3F aircraft with the HH-60J, a twin engine, medium range, heavy lift helicopter capable of flying in adverse weather. To date, twenty-four replacement MRR aircraft have been procured. The funds requested will pay for the purchase of planned engineering change orders, training devices, support equipment, spares and support services. A joint Navy/Coast Guard competitive procurement program ensured full and open competition, as well as DOD operational and support compatibility.

Benefits: The new aircraft will restore availability rates, enhance logistics support, and improve mission performance. The MRR replacement fleet is expected to save 680 lives, assist 2,200 persons, and prevent the loss of $60,000,000 in property annually. The heavy lift capability of a replacement MRR aircraft will also provide improved support for other mission areas, such as the Marine Environmental Response (MER) Program. In addition, this aircraft will provide a flexible platform for use in the Coast Guard's expanding military defense readiness and law enforcement missions. The training devices will reduce life cycle training costs and provide both pilots and maintainers a resource for practicing emergency procedures and observing systems operations in a safe environment.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT (HH-3 crew)	2	---	2	---	4
PLANNED (HH-60 crew)			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Procure MRR Helicopters - Phase I - Aircraft #1-2	1986	44,100
Procure MRR Helicopters - Phase II - Aircraft #3-15	1987	180,000
Procure MRR Helicopters - Phase III - Aircraft #16-20	1989	93,000
Anti-Drug Abuse Act of 1988 - Phase IV - Aircraft #21-24	1989	52,000
Procure MRR Helicopters and Simulator - Phase V - Aircraft #25-32	1990	131,604*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	34,300
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	6,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Engineering change orders	LS	---	7,500
2.	Training devices and equipment	LS	---	9,000
3.	Spares	LS	---	11,500
4.	Support	LS	---	6,300
		TOTAL		34,300

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, [illegible] (REV. [illegible])
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR
BUDGET ITEM NO. 1991

ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE
HH-65 SHORT RANGE RECOVERY (SRR) HELICOPTER
--SUPPLEMENTAL SPARES PROVISIONING - PHASE II

NEAREST CITY & CONGRESSIONAL DISTRICT
VARIOUS

AMOUNT REQUESTED
$7,700,000

Reason for Request: To properly provision the HH-65 Short Range Recovery (SRR) helicopter thus increasing availability and utilization towards programmed levels.

Description of Problem or Need: In FY 1988, the HH-65 was approximately 15.0% below programmed availability and flew 517 hours per aircraft compared to 570 hours programmed per aircraft. The HH-65 was Not Mission Capable due to Supply (NMCS) in FY 1988 16.6% of the time. The target is 5.0%. The excessive down time and low utilization was caused by unexpectedly low Mean Time Between Failures (MTBF) and Mean Time Between Removal for Repair (MTBRR), overly conservative sparing models, and higher than expected component repair turn around time. Initial provisioning for the HH-65 was 23.5% of the acquisition cost. The DoD guideline developed through years of experience is 30.0% of the acquisition cost.

Description of Solution: Over a three year period, purchase sufficient spares (based on MTBF, MTBRR and repair turn around times) to utilize the HH-65 up to 800 hrs per year per aircraft and attain the 5.0% NMCS rate. This will bring spares up to a level approximately equal to the DoD standard. Last year's request together with this year's request will increase sparing to support 645 hours per year per HH-65.

Benefits: Avoid a further decrease in aircraft availability due to supply shortages. Decrease NMCS rate toward goal of 5% and reduce Not Mission Capable due to Maintenance (NMCM) time by eliminating some parts cannibalization.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Procure SRR Helicopter	1979-83	354,708
Procure SRR Helicopter	1984	41,390
Procure SRR Helicopter	1986	24,000
Procure SRR Helicopter	1987	5,600
Supplemental Spares Provisioning	1990	18,047*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	$7,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	$15,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Purchase HH-65 spares	LS	---	$7,700

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-[illegible] (REV. [illegible])
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE HU-25 MEDIUM RANGE SEARCH (MRS) AIRCRAFT ENGINE IMPROVEMENTS - PHASE II	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $3,500,000

Reason for Request: To continue the HU-25 aircraft engine (ATF-3) product improvement program to correct various engine deficiencies currently identified and to retrofit all ATF-3 engines in the fleet with these improvements.

Description of Problem or Need: Although technical problems on the ATF-3 engine have been solved and the inspection/overhaul intervals meet original specifications, the maintenance cost associated with operating this engine is extremely high. The high cost may eventually cause funding to be the limiting factor in aircraft availability and flight time as the HU-25 fleet approaches programmed flight time. The major cost of maintaining the engine is generated by 1200-hour inspections and 2400-hour overhauls as stated in the US Air Force Aeronautical Systems Division (ASD) report on Coast Guard HU-25A/Garrett ATF3-6 Engine dated October 7, 1985. The ASD report recommended establishing and funding a component improvement program to maintain flight hour production of the HU-25 by increasing the availability of the HU-25 and decreasing the cost per flight hour. Engine compressor failures of the fourth stage as well as low pressure, high pressure, and mid-frame failures persist and are the primary obstacle to extending the inspection/overhaul interval. The proposed solution should allow us to extend our inspection and overhaul interval.

Description of Solution: Phase II of this multi-year project includes contracting for engineering services to identify, redesign, fabricate, and test the necessary engine components for improvement of the fourth stage durability. After acceptable replacement parts are designed, all of the Coast Guard's 109 ATF-3 engines will be retrofitted, and provisioning spares will be procured. Garrett Engine Division (GED) has designed improvements which will decrease the number of low pressure, high pressure, and mid-frame premature failures thus increasing the average time between overhauls. These improvements will be incoporated as engine parts are replaced on an attrition basis.

Benefits: By eliminating fourth stage compressor failures, low pressure, high pressure and mid-frame failures, the component improvement program will enable extension of the inspection/overhaul interval and continue to increase availability and flight time towards the programmed goals. After completion of the total program, cost benefits each year will include: (1) avoidance of three fourth-stage compressor failures ($330,000 each for repair); (2) avoidance of 15 major engine overhauls at $330,000 each; (3) avoidance of 15 major inspections at $100,000 in parts and 600 work hours per inspection; and (4) a 5.0% increase in fuel efficiency equal to $300,000. The total yearly costs avoided - $7.7 million.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT		NOT APPLICABLE			
PLANNED		NOT APPLICABLE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
HU-25 MRS AIRCRAFT ENGINE IMPROVEMENTS - PHASE I	1990	1,595*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	7,900
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Fourth stage compressor failure resolution	LS	---	3,500

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

FISCAL YEAR 1991 BUDGET ITEM NO.	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
HH-65 AIRCRAFT, LTS-101 ENGINE REPLACEMENT	VARIOUS	$6,500,000

Reason for Request: To provide for limited integration of the T-800 engine into operational HH-65 helicopters for the reliability, availability, maintainability (RAM) program.

Description of Problem or Need: The LTS-101 life cycle cost study update of March 14, 1989 indicates that its present performance in the HH-65 is economically unsupportable. Excessive maintenance staff-hours continue to be expended for cannibalization and unscheduled engine changes. Engine support is costing 400% more than projected and continues to grow as the engine ages and the fleet expands. LTS-101 internal failures have driven LTS-101 program costs above those projected for fleet- wide engine replacement. aIt is necessary to operate the LTS-101 at near maximum capability to produce required power, thus causing continuous, a serious durability problem for the engine. The actual Time Between Overhaul (TBO) of 300 falls far short of the design level of of 2,400 hours. Due to premature failures, support costs have ballooned to $175/EOH (engine operating hour) from original projections of $43/EOH. HH-65 availability for FY 1988 was 55%, 16% below our 71% goal, largely because of internal engine problems.

Description of Solution: As part of an alternatives analysis, the Coast Guard initiated a HH-65/T-800 integration proof of concept program in 1989 to determine the engineering and economic feasibility of using the U.S. Army's T-800 engine on the Coast Guard's HH-65 helicopter. The proof of concept program is being conducted with the Army Aviation Systems Command using their YT-800 preliminary flight rated engines and one Coast Guard HH-65 airframe. Further funding is required to continue this program towards fleet wide implementation. Prior to full scale implementation, a reliability, availability, and maintainability (RAM) program will provide limited introduction of the T-800 into operational HH-65s to gather Coast Guard mission specific information for the HH-65/T-800 combination.

Benefits: Replacement of the LTS-101 with a DOD-supported engine with a greater operating margin, if the proof of concept is successful, would increase availability, supportability, and reliability while lowering program costs and eliminating excess maintenance staff-hours. The Army has cooperated fully during initial discussions for Coast Guard integration of the T-800 into the HH-65 airframe. This window of opportunity with an existing DOD program is being used expeditiously to ensure the lowest cost, highest benefit integration program. The Army's competitive selection of the T-800 and intended procurement of 5,000 engines benefits the Coast Guard in product development and low incremental cost compared to a stand-alone engine purchase. The Army estimates of nearly 2,000 T-800 powered helicopters by 2010 mean continued support of this engine well into the next century and potential use of the T-800 on the HH-65's successor.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT		NOT APPLICABLE			
PLANNED		NOT APPLICABLE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
*HH-65/T-800 Proof of Concept	1989	10,500

SUMMARY ($000)

AMOUNT OF THIS REQUEST	6,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	99,400
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Reliability, Availability, Maintainability (RAM) Program	LS	---	6,500

NOTE: *Reprogrammed from other projects in FY89.

DEPT. OF TRANSP., USCG, CGHQ-[illegible] (REV. [illegible])
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE MEDIUM RANGE HELICOPTER REPLACEMENT - OPERATION BAHAMAS TURKS AND CAICOS - PHASE I	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $45,000,000

Reason for Request: To fund phase one of a multi-phase procurement of Medium Range Recovery (MRR) helicopters to support the Operation Bahamas Turks and Caicos (OPBAT) drug law enforcement mission. This procurement is in addition to the Coast Guard's ongoing acquisition of 32 HH-60J MRR helicopters to support non-OPBAT requirements.

Description of Problem or Need: Beyond FY 1993, it will not be cost effective to continue operating our aging, existing HH-3F fleet. This is due to increased unit- and depot-level maintenance, increased corrosion, increased major component failures, and a declining support system. As a result, the Coast Guard's ongoing acquisition of 32 HH-60J (MRR) helicopters was initiated to meet our non-OPBAT Medium Range helicopter needs. However, that ongoing acquisition does not address OPBAT MRR helicopter requirements to replace the HH-3Fs currently supporting OPBAT. Thus, without this replacement program the Coast Guard will not have MRR helicopters to support OPBAT after FY 1993.

Description of Solution: Procure eleven additional MRR helicopters to meet OPBAT operational requirements commencing in FY 1994.

Benefits: The Coast Guard will be able to support OPBAT after FY 1993. Direct quantifiable benefits of OPBAT for FY 1988 were 15,254 pounds of cocaine and 9,774 pounds of marijuana seized. Also, the deterrent effect our OPBAT resources have on drug smugglers will continue.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	42	1	151	---	194
PLANNED	42	1	174	---	217*

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriation		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	45,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	120,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. MRA helicopter procurement - Phase I	LS	---	45,000

Note: *Includes additional personnel required for corrosion control.

DEPT. OF TRANSP., USCG, [illegible] (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
AIRCRAFT COCKPIT VOICE RECORDERS (CVRs) AND FLIGHT DATA RECORDERS (FDRs) - PHASE I	VARIOUS	$3,500,000

Reason for Request: To begin installation of CVR/FDR units in all Coast Guard HH-60J, HH-65A, and HU-25 aircraft, and install FDRs in the VC-4A and VC-11A aircraft.

Description of Problem or Need: The Coast Guard cannot always determine relevant causal factors in aircraft accidents due to the inability to reconstruct flight conditions that were present prior to the accident, thereby impeding our ability to prevent costly future accidents. A recovered airframe alone does not reveal the causes of an accident. Since 1978, 34 Coast Guard personnel have been killed in 10 aircraft accidents, with total airframe replacement costs of $16,000,000. In addition, another $6,700,000 in substantial damage or loss was sustained in accidents where there was no loss of life. The exact causal factors were not determined in these accidents due to the lack of CVR/FDR data in the HH-3F, HH-52A, HH-65A and HU-25 aircraft and the lack of FDR data in our VC-4A and VC-11A aircraft. Had they been available, data from CVRs/FDRs would have greatly aided the investigators of these incidents and possibly prevented future accidents similar in nature.

Description of Solution: Phase one of this three-phase project will install FDRs in the VC-4A and VC-11A aircraft (CVRs are part of their original equipment), and CVRs/FDRs in 10 HH-60J helicopters. Solid state CVRs provide a 15-minute record of all voice communications originating from or received in the cockpit, individual crew stations, and over the public address system. Other cockpit sounds such as activating switches, aural warnings, and changes in engine sound frequencies are recorded via area microphones. Solid state FDRs provide a 30-minute record of various aircraft flight parameters, to include: altitude, airspeed, heading, vertical acceleration, power on each engine, and various system parameters (hydraulic, electrical etc).

Benefits: Installed CVR and FDR systems will enable more complete and conclusive post-accident investigations. Knowing what aircraft performance characteristics and crew voice communications were prior to an accident would be invaluable in determining the cause of an accident. Lessons learned from CVR/FDR data, when applied to pilot and aircrew training, can help prevent future accidents and the resultant loss of life and expensive aircraft.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	---	---	---	---	---
PLANNED	---	---	---	1	1

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	17,600
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	VC-4A/VC-11A FDR hardware/spares/installations/engineering	EA	2	200
2.	HH-60J CVR/FDR hardware/installation kits/installations	EA	10	1,300
3.	Non-Recurring Engineering for HH-65A and HH-60J	LS	---	2,000
		TOTAL		3,500

DEPT. OF TRANSP., USCG, CGHQ-[illegible] (REV. [illegible])
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE REPLACE AIRCRAFT REPAIR AND SUPPLY CENTER (AR&SC) COMPUTER - PHASE III	NEAREST CITY & CONGRESSIONAL DISTRICT ELIZABETH CITY, NC - 1ST	AMOUNT REQUESTED $1,500,000

Reason for Request: To replace the Burroughs mainframe computer system that has reached economic and technological obsolescence and can no longer support the necessary maintenance and repair system for Coast Guard aircraft.

Description of Problem or Need: All Coast Guard aircraft maintenance and repair support is centralized at the Aircraft Repair and Supply Center (AR&SC), Elizabeth City, NC. The original Burroughs mainframe computer system was installed in 1976. At that time, the Burroughs system was an older technology computer acquired at an extremely favorable price. However, even through extensive hardware expansion, the system has not been able to maintain the computing or storage capability required for AR&SC computing needs. With the introduction of the sophisticated and foreign-built (non-DOD-supported) Medium Range Search and Short Range Recovery aircraft, and their attendant information resource needs, the inadequacy of the Burroughs system has become more severe. An interim upgrade, using two B6900s, was undertaken to maintain computing capacity until a replacement can be obtained. By 1990, the Burroughs B6900 mainframes are also expected to be technologically obsolete. Burroughs has discontinued production of B6900s, and maintenance support depends upon parts availability.

Description of Solution: The design of the replacement hardware and operating system software is based upon the current system design with at least a 50% increase in capacity. This capacity will facilitate expected expansion as new requirements are identified. The project will provide new computer hardware and software that will increase the speed and availability of the data system to the user, and allow better tracking of AR&SC inventory items. Phase I of this project provided needed hardware and began software development. Phase II continued software development and provided funds for training and installation. This final Phase (III) will continue software development and training.

Benefits: Numerous benefits with regard to efficiency will result in improved effectiveness of AR&SC including: more timely support of operating units; increased aircraft availability; fewer missions aborted; more lives/property saved; and associated costs avoided. Efficiency benefits include: (1) continued operation of ADP services for Aeronautical Engineering Maintenance Management; (2) higher reliability of ADP system; (3) decreased ADP maintenance costs; (4) better availability of ADP repair parts; (5) decreased ADP energy requirements; (6) less labor intensive to program; (7) easier to maintain and document programs; (8) permits on-line queries to data base; (9) less redundant data entry; (10) eliminates duplicate data tracking; (11) provides easier access to management information; (12) reduces manual intervention of automated system; and (13) increases effectiveness of computer system operating staff and field maintenance personnel.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON-AC&I FUNDED)

	OFF	WARRANT	ENL	CIV	TOTAL
CURRENT	1	---	---	20	21
PLANNED	---	---	---	20	20

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
REPLACE AR&SC COMPUTER - PHASE I	1969	5,700
REPLACE AR&SC COMPUTER - PHASE II	1990	1,496*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,500
ESTIMATED FUTURE COSTS NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

ITEM NO.	COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR	MEASURE	QTY	ESTIMATED COST ($000)
1.	Continue software development, training, and installation...	LS	---	1,500

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4285 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
GLOBAL POSITIONING SYSTEM INSTALLATION - PHASE II	VARIOUS	$1,600,000

Reason for Request: To fund Phase II of a six-phase, six-year procurement that will make necessary aircraft hardware and software modifications, and install Navy-provided Global Positioning System (GPS) navigation equipment aboard all Coast Guard (CG) aircraft by the mid-1990's.

Description of Problem or Need: Once GPS becomes fully operational in 1992, CG aircraft will operate with reduced global navigation capability and will not have a common reference position when operating with the Department of Defense (DOD), an operational disadvantage that will increase in magnitude as joint CG/DOD law enforcement and national defense operations increase. DOD plans to phase out its requirements for and support of all other common-use radionavigation systems currently used by CG aircraft for enroute and non-precision approach guidance within U.S. National Airspace, and replace them with the more accurate GPS. Outside U.S. National Airspace, CG aircraft now use Loran-C for enroute navigation; however, Loran-C does not have the global coverage needed to support operations in the Caribbean Sea and Polar regions. CG aircraft operating in these areas are equipped with OMEGA because it has global coverage; however, OMEGA has limited accuracy due to propagation effects and restrictions on use of signals when close to an OMEGA station. As a result, OMEGA cannot be used by aircraft flying in U.S. terminal airspace. DOD plans to phase out air use and support of OMEGA and Loran-C in 1994 as they transition to GPS.

Description of Solution: Military GPS is a space based global precision navigation system with a nominal accuracy of 16 meters and signal security protection against enemy jamming. This phased, multi-year project will make necessary hardware and software modifications, and install Navy provided GPS aboard all CG aircraft, except the HH-60J helicopters (GPS will be funded and installed aboard HH-60J helicopters in conjunction with the CG's ongoing multi-year Medium Range Recovery Helicopter Replacement Program). The Navy plans to fund airborne GPS equipment and GPS integration costs for these CG aircraft and provide the Integrated Logistic Support Management, which will develop maintenance and training plans, and identify a source for depot level maintenance. Phase I (funded in FY 1990) will accomplish HH-65A helicopter hardware and software modifications, and installation of Navy provided GPS equipment aboard the first 10 of CG's 96 HH-65A helicopters. The Navy procured this equipment in FY 1988 for CG installation in FY 1990. This second phase will equip 20 additional HH-65A helicopters with Navy provided GPS, and start the hardware and software modifications on the CG's HU-25 airplane fleet.

Benefits: Improved precision global navigation capability (16 meters for military GPS compared to 4.0 nautical miles for OMEGA and .25 nautical mile for Loran-C) that complies with the 1986 joint DOD/DOT Federal Radionavigation Plan, and a common reference position when operating with DOD. This will become increasingly important as joint CG/DOD law enforcement and national defense operations increase.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Global Positioning System Installation - Phase I	1990	1,595*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,600
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	10,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. HH-65A Hardware/Software Modifications	LS	---	470
2. HH-65A Installations	EA	20	810
3. HU-25 Hardware/Software Modifications	LS	---	320
	TOTAL		1,600

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4366 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
CONFIGURATION MANAGEMENT	VARIOUS	$6,000,000

Reason for Request: To establish shipboard information systems centered around actual configuration and ensure configuration information of each cutter is available at Maintenance and Logistics Commands, Supply Centers and Headquarters. Data developed will be compatible with United States Navy logistics systems.

Description of Problem or Need: The Coast Guard has begun a program to implement Configuration Management (CM) on six cutter classes. Configuration is a catalyst which is integral to casualty reporting, maintenance requests, planning and budgeting, mobilization planning and logistics, allowance development and maintenance, supply support, and many other topics. Virtually none of this support information is indexed; Coast Guard personnel spend a great deal of time just locating the correct documentation before any productive work can begin. Drawing accuracy is poor based on Fleet Renovation and Modernization (FRAM) and Major Maintenance Availability (MMA) results. An accurate configuration is needed for all echelons, including cutters, to operate, maintain, and support operating units.

Description of Solution: Cutter configuration will be determined by starting with each ship's drawings and performing an on-site verification/correction for all configuration-worthy equipments/systems. A hierarchical structure will be developed for each class, and data from each cutter will be loaded into the hierarchical structure coding. Technical information will be determined for each configuration item and similarly loaded in the cutter's CM data base. Record drawings will be corrected or redrawn. System architecture will include the use of optical disc (CD-ROM) technology, bar code applications, and processing/developing of many reports/requests via automated entry of data base information into preformatted form and electronic transfer of data. Initial classes to be included are: 400' WAGB, post-FRAM 378' WHEC, 270' WMEC, post-MMA 210' WMEC, 140' WTGB, AND 110' WPB--89 cutters in all. Data will reside at Maintenance and Logistics Commands, Supply Centers, and Headquarters units with automated updating from cutter data bases.

Benefits: Employing configuration data, as the catalyst for all configuration-worthy item and technical item queries, will greatly facilitate both maintenance and supply functions. Record drawings and CM data will reflect actual conditions. Interfaces with Coast Guard and U.S. Navy logistic locations will be automated and more accurate. The likelihood of future cases of drawing and technical publication problems of FRAM and MMA will be greatly reduced, and manual tasks of day-to-day forms/report generation will be more accurate and less laborious.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT		NOT APPLICABLE			
PLANNED		NOT APPLICABLE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	6,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	15,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Validate cutter configuration, install CM products*	LS	---	3,150
2.	Support Services	LS	---	2,300
3.	Optical Disc Equipment	LS	---	550
		TOTAL		6,000

NOTE: *Cutters for FY 1991: five WHECs, four WMECs (270'), four WMECs (210'), two WTGBs, and twelve WPBs

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE ALASKA - UPGRADE NORTHERN PACIFIC LORAN-C STATIONS - PHASE I	NEAREST CITY & CONGRESSIONAL DISTRICT PORT CLARENCE, ST PAUL, AND ATTU, AK - 1ST	AMOUNT REQUESTED $6,000,000

Reason for Request: To complete the first of a three phase program to replace transmitters and increase power at Loran-C Stations (LORSTAs) in Port Clarence, St Paul and Attu, AK, and to dual-rate LORSTA Attu.

Description of Problem or Need: Loran-C coverage in the Alaskan area will be required through the year 2015, but the existing AN/FPN-42 transmitters will not be supportable beyond 1992. The 1989 Summit Agreement between the U.S. and U.S.S.R. will require dual-rating of LORSTA Attu. The existing prime power generators at Attu will not support dual-rated operations.

Description of Solution: To ensure continued Loran-C coverage in the Alaskan area through the year 2015 and to satisfy the requirements of the 1989 Summit Agreement, the AN/FPN-42 transmitters at LORSTAs Port Clarence, St. Paul and Attu, AK will be replaced with AN/FPN-44A transmitters. Although the replacement transmitters are currently available in Coast Guard Supply, the existing transmitter buildings will not accommodate the replacement transmitters; therefore, new transmitter buildings will need to be constructed at each site. The requested funds will also cover the costs of shipping and installing the replacement transmitters, procurement of new generators for LORSTA Attu, and other facility upgrades needed to support the new equipment.

Benefits: Increased reliability and lowered maintenance costs through replacement with serviceable transmitters. Ability to meet U.S./U.S.S.R. Summit Agreement obligation and add an estimated 12.8 million square miles of coverage in the northern Pacific Ocean.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	---	3	62	3	68
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Port Clarence Essential Rehabilitation	1986	3,085

SUMMARY ($000)

AMOUNT OF THIS REQUEST	6,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	12,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Phase I - Upgrade LORSTA Attu	LS	---	6,000

DEPT. OF TRANSP., USCG, CGHQ-4355 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

YEAR ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
MARINE SAFETY INFORMATION SYSTEM (MSIS) REPLACEMENT(MSIS II)	VARIOUS	$2,500,000

Reason for Request: To provide the replacement system(s) for the Marine Safety Information System (MSIS) by 1996. The system(s) are necessary to meet the Office of Marine Safety, Security, and Environmental Protection's information needs, including legislative mandates, through the 1990's.

Description of Problem or Need: MSIS resources are inadequate to enhance and develop software applications necessary to support the Office of Marine Safety, Security, and Environmental Protection through the 1990's as required and may not be capable of surviving to 1996 due to loss of contractor support. MSIS is technologically obsolete; the hardware is out of production, is unable to support any additional applications or users, and will require replacement by 1992. MSIS uses an inefficient user interface and dialogue, and is frequently unavailable to the users when needed (est. 15% of time). The system operates in a high risk environment, is dependent on a single contractor for survivability, and is without a disaster recovery system or service capability.

Description of Solution: The transition from MSIS to MSIS II will occur over a period of 5 years. MSIS hardware will be replaced with hardware that runs a standard Unix POSIX Operating System software. The obsolete Database Management System (DBMS), a 1979 modified version of TOTAL, will also be replaced with a current off-the-shelf DBMS. The existing MSIS applications will be replaced with 37 new software applications which are being developed using standard programming languages and software development tools. The new system(s) architecture will interface with and use the processing power of the Coast Guard standard workstation. The vessel documentation functions currently supported on MSIS will be redeveloped on a separate system to meet the requirements of the Ship Mortgage Act, P. L. 100-710. The MSIS replacement system(s) will be required to interface with the Vessel Identification/Documentation System (VIDs). The procurement will include a disaster recovery capability.

Benefits: Removes single vendor risks and dependencies. Ensures survivability of MSIS, an essential resource supporting more than 5,000 users at over 135 sites across the nation. The development of new software applications that support 37 of the basic activities for the Office of Marine Safety, Security, and Environmental Protection will improve the effectiveness and efficiency of the Office's activities, as well as decision making, analysis, and planning functions at all levels. The development methodology will ensure a better integration of the system with activities supported, improved reliability, and significant response time reductions. The system will provide an 'ad hoc' query capability and comply with the Coast Guard Information Systems architecture, providing more accessibility to data for other Coast Guard Programs and government agencies use.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	6	1	30	11	48
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	15,160
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Software Requirements Analysis and Design	LS	---	1,700
2.	Verification, Validation and Testing Contract	LS	---	100
3.	Hardware and Systems Software Acquisition Support	LS	---	200
4.	Hardware and Systems Software Acquisition	LS	---	500
	TOTAL			2,500

DEPT. OF TRANSP., USCG, [illegible] (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR 1991 BUDGET ITEM NO.	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
COMPUTER FOR SERVICE RECORD AUTOMATION	WASHINGTON, DC	$1,200,000

Reason for Request: To procure a dual-processor, super minicomputer system for Coast Guard Headquarters, Office of Personnel and Training, which will support current operations and military service record automation.

Description of Problem or Need: Personnel service records are critical to the effective and efficient operation of the Coast Guard, and maintenance of these files with traditional clerical procedures is becoming extraordinarily difficult. Support staff cuts over the past ten years have reduced civilian positions in Officer and Enlisted Records by 60%, while paper filing requirements have increased over 500%. Due to a severe filing backlog, personnel decisions are being based on out-dated or incomplete information. There is no way to provide record access to more than one user at a time, nor is there any way to prohibit or detect a user's alteration of a service record. There is no backup to the current paper-based officer and enlisted records system. 40,000 records of regular Coast Guard military personnel, as well as 25,000 records of Coast Guard Reserves, are at risk of loss without replacement. Minicomputers currently in use are 8 years old, have failed at least weekly under their current load during recent months and do not have sufficient internal memory or processing speed to support a system based, in part, on optically stored digitized images of service record documents.

Description of Solution: A five-year project to replace hard copy service records with an automated system, combining stored digital images (essentially, computer-stored photocopies) with conventional text data base is proposed. The automated system will provide on-line access to personnel data and images of critical documents, allowing sharing of a record by many users, availability of data for processing by numerous applications, and, most importantly, electronic backups. The heart of the automated system is a dual-processor superminicomputer, with high-speed communications links to Coast Guard standard microcomputer workstations for displaying digitized documents. Since this sytem will replace most hard-copy records in the working environment, processor duality guarantees rapid recovery from failure of any single automated component. The system will possess sufficient processing power to handle data base applications as well as document retrieval. The super minicomputer will support current and enhanced requirements. It will allow the additional automation of personnel information handling which will make the management of Coast Guard's most expensive and important resource -- people -- more accurate, timely and efficient.

Benefits: Paper handling and storage requirements will be reduced by 90%, allowing reduction of 18 file clerks. Simultaneous access to service record contents by many users within the Office of Personnel will increase productivity by avoiding delays for records in use. Off-site storage of electronic backups of data will remove the threat of irretrievable record loss due to accident or sabotage. Compared to existing computer systems used in the Office of Personnel, the new computer system will provide: (1) higher reliability, (2) decreased energy requirements, (3) better software documentation and easier software maintenance, (4) on-line database queries without programming, and (5) reduced manual intervention in the automated system.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	2	0	2	29	33
PLANNED	2	0	2	11	15

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Procure super minicomputer system (with local area network data communications)	LS	---	1,200

DEPT. OF TRANSP., USCG, CGHQ-4835 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE	VESSEL IDENTIFICATION AND DOCUMENTATION SYSTEM (VIDS)	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $2,200,000

Reason for Request: To develop the information system(s) required by the Ship Mortgage Act, Public Law 100-710.

Description of Problem or Need: The Department of Transportation must comply with Public Law 100-710 which requires the Secretary to establish a nationwide vessel identification system and to modernize, centralize and computerize certain vessel documentation records and activities. The Law also authorizes user fees for vessel identification and documentation services and requires the expenditure of appropriated funds equivalent to the user fees collected in order to develop the required system(s). The legislative history indicates that the Vessel Identification and Documentation Systems are expected to be state-of-the-art systems which incorporate other systems if it proves to be cost efficient to do so. There are no existing systems that can satisfy the requirements of the law.

Description of Solution: The Coast Guard will establish a Vessel Identification and Documentation System (VIDS) consisting of at least two sub-systems: the vessel identification sub-system (VIS) and the vessel documentation sub-system (VDS). The VIS sub-system will store summary information on up to 16 million vessels and will accommodate access by all states, territories and possessions of the United States. VIS will accommodate networking with other law enforcement systems. Access to information within VIS will be provided to individuals or corporations for an appropriate fee. The VDS sub-system will store detailed information on up to 250,000 documented vessels and will accommodate access by all documentation offices. The VDS will automate vessel documentation activities and will convert millions of pages of vessel documentation files to digital form. Access to information in VDS may be provided to private individuals or documentation firms for a fee.

Benefits: Requirements of Public Law 100-710 will be satisfied. Networking will facilitate the exchange of law enforcement information with other federal, state and local law enforcement officials. Stolen boats will be recovered more easily. Increased recovery of stolen vessels will deter future thefts. Insurance costs for boat owners will decrease. Preferred mortgage status will become available to state titled vessels. Improved security for financial institutions will reduce interest rates on boat loans. Storage of documentation information in digital form will reduce the cost of its storage and retrieval.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	4	---	---	6	10
PLANNED	3	---	---	5	8

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	14,628
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.	MEASURE	QTY	ESTIMATED COST ($000)
1. VIDS Design	EA	1	900
2. VIDS Development	EA	1	1,300
TOTAL			2,200

DEPT. OF TRANSP., USCG, CG-[illegible] (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**	
PROJECT TITLE **LAW ENFORCEMENT INFORMATION SYSTEM IMPROVEMENTS**	NEAREST CITY & CONGRESSIONAL DISTRICT **MARTINSBURG, WV - 2ND**	AMOUNT REQUESTED **$1,800,000**

Reason for Request: To update and improve the Coast Guard's computer-based Law Enforcement Information System (LEIS).

Description of Problem or Need: The Coast Guard's Law Enforcement Information System began as an internal, computer-based information system containing applications including migrant interdiction data, seizure data, and Summary Enforcement Event Report (SEER) data. The system was developed in the early 1980's as a working prototype, but is now unable to accommodate the current and growing demand for Coast Guard law enforcement information, including vessel boarding histories, data for strategic planning and other tactical information.

Description of Solution: Rewrite the Law Enforcement Information System software to provide output products to support real-time tactical operations as well as strategic planning. Insure software flexibility to accommodate future shifts in emphasis for information.

Benefits: Approximately 500 operational units and related staffs access information concerning Coast Guard law enforcement activity and effort. Near real-time access to vessel boarding histories will enable operational units to make better informed decisions. More efficient and effective tactical and strategic law enforcement planning will occur.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT		NOT APPLICABLE			
PLANNED		NOT APPLICABLE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,800
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	2,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Rewrite LEIS/SEER software	LS	---	1,800

DEPT. OF TRANSP., USCG, CGHQ-4285 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE	PERSONNEL MANAGEMENT INFORMATION SYSTEM/ JOINT UNIFORM MILITARY PAY SYSTEM II	NEAREST CITY & CONGRESSIONAL DISTRICT WASHINGTON, DC	AMOUNT REQUESTED $1,700,000

Reason for Request: To reengineer Personnel Management Information System/Joint Uniform Military Pay System (PMIS/JUMPS) software initially developed in 1970. The PMIS/JUMPS II software will replace many of the (over 200) inefficient, undocumented COBOL programs. The new programs will utilize relational database technology, variable length file structures, and structured software engineering techniques; thereby, making software maintenance significantly faster and less costly.

Description of Problem or Need: PMIS/JUMPS software is a collection of key punch programs that were migrated to a transaction-based format that runs on the Department of Transportation/Transportation Computer Center (DOT/TCC) mainframe computer. The migration was done using batch-oriented mainframe methodology without disciplined design techniques. The result was poor documentation of the system and subsequent changes. PMIS/JUMPS has since reached technical saturation with repeated modifications to accommodate both entitlement and personnel policy changes (100 major and 300 minor changes are now pending). The Coast Guard is concerned about the complexity and ever lengthening lead-times required to implement changes due to the unstructured nature of the existing PMIS/JUMPS software. Mobilization requirements required merging of reservists into PMIS/JUMPS in 1988. The merging of these systems caused PMIS/JUMPS to become even more complex. Reserve pay and retired pay still remain as separate systems. The incorporation of all pay and personnel tracking of CG military personnel into PMIS/JUMPS is a strategic efficiency goal that reduces multiple system maintenance, enhances mobilization posture, and reduces processing costs.

Description of Solution: Develop a single, integrated personnel database and payroll delivery system for Active Duty, Retired, and Reserve personnel using existing technology and proven structured software engineering techniques. Phase I: Perform the requirements analysis, develop a data model for a centralized pay and personnel administration database, develop alternative system designs. Phase II: Choose the design alternative that is most efficient and cost effective over the software lifecycle. Program, implement and test PMIS/JUMPS II. If this project is not funded, there are significant detrimental impacts affecting CG personnel, their morale and quality of life, including: (1) data feeds to DAFIS and the Corporate database will be difficult if not impossible to implement, (2) legislative pay entitlements/personnel changes will be difficult if not impossible to implement responsively, (3) continued software modification will bring even greater uncertainty of accidental payroll system failure, and (4) information queries will continue to be untimely and inaccurate.

Benefits: Structured software engineering of PMIS/JUMPS II, using proven available technology, will facilitat system maintenance. Personnel savings are likely in the programming and audit functional areas. Software maintenance efforts will be significantly lower due to the compression of the number of lines of code by 40%, and the integration of three separate personnel and payroll systems into a single system. Lifecycle costs in the future will be for only one system instead of several hardware and software systems. Key features of PMIS/JUMPS II will include a fully integrated pay and personnel support for active, reserve, and retired personnel, and annuitants of deceased Coast Guard members; a separations database; electronically generated statements of creditable service used by numerous state and federal agencies; greater responsiveness to pay an personnel data requests from Congress and the public; and automation of several other currently manual, labor intensive functions.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WARNT	ENL	CIV	TOTAL
PLANNED	—	—	—	—	—
CURRENT	—	—	—	—	—

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	2,800
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	—

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Redesign of PMIS/JUMPS software	LS	—	1,700

DEPT. OF TRANSP., USCG, CG-4283 (REV. 3-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE MINOR AC&I SHORE CONSTRUCTION PROJECTS	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $9,000,000

Reason for Request: To provide funding for small, but necessary, Acquisition, Construction, and Improvements (AC&I) projects. These projects are less complex, and require less advance planning than their major shore construction counterparts.

Description of Problem or Need: Various shore facilities are involved.

Description of Solution: The following represents the type of projects to be accomplished under this program:

a. Construct new facilities to provide for new mission requirements.
b. Expand existing facilities to meet increases in mission demands.
c. Renovate facilities to comply with performance standard upgrades.
d. Replace deteriorating facilities.

The overall cost for any particular minor AC&I project is limited to $750,000.

Benefits: Benefits include increased operational efficiency and effectiveness, improved habitability, enhanced safety and occupational health, and protection of shore plant investment through facility renewal.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	NOT APPLICABLE				
PLANNED	NOT APPLICABLE				

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Minor AC&I Shore Construction	1986	6,850
Minor AC&I Shore Construction	1987	5,800
Minor AC&I Shore Construction	1988	5,500
Minor AC&I Shore Construction	1989	6,300
Minor AC&I Shore Construction	1990	7,476*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	9,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	50,000**
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Minor AC&I projects	LS	---	9,000

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 100-164) reduction to fund the war on drugs.
**Based upon historical requests for minor AC&I funding

DEPT. OF TRANSP., USCG, CGHQ-4365 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
RELOCATE COAST GUARD INTELLIGENCE COORDINATION CENTER TO NEW NAVAL INTELLIGENCE COMMAND FACILITY	SUITLAND, MD - 5TH	$1,800,000

Reason for Request: To provide adequate space and equipment for the Coast Guard (CG) Intelligence Coordination Center (ICC).

Description of Problem or Need: The ICC is located in 4,342 square feet of area within the CG Headquarters building. The space is inadequate to meet equipment, storage and personnel work space requirements. The greater demands on the CG Intelligence program and the increased interaction with other national intelligence and law enforcement entities impose a physical burden on the ICC staff. There is a significant need to provide for adequate physical and operational security. Adequate support of CG missions requires 100% access to ADP systems.

Description of Solution: Relocate ICC to 5,000 square feet of space within the new Naval Intelligence Command (NIC) facility currently under design and planned for Suitland, MD. The Navy will design and build space for the ICC within the NIC building. CG will pay a proportionate share for design and construction of the ICC space.

Benefits: Collocation with NIC will give CG 100% access or connectivity to advanced intelligence systems and data. Increasing quantities of information can be processed/disseminated to operational commands in an effective, expeditious manner. Improved Automated Data Processing (ADP) capabilities will be sustained. Increased physical security will be afforded.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	14	0	9	4	27
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,800
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	CG share of building cost including sitework and exterior utilities	LS	---	1,800

DEPT. OF TRANSP., USCG, [illegible] (REV. 8-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE NATIONAL STRIKE FORCE EQUIPMENT	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $7,000,000

Reason for Request: To provide funding for the equipment and equipment pre-staging needed in support of the National Strike Teams.

Description of Problem or Need: Reliance on the private sector to maintain the necessary equipment and personnel to respond to a major environmental accident has proven to be an unrealistic assumption. Furthermore, a review of the equipment and personnel available to support the USCG National Strike Teams has identified significant deficiencies in this area.

Description of Solution: Acquire the funds necessary to provide the equipment, equipment pre-staging, equipment maintenance, and necessary personnel training programs needed to enhance the capabilities of the National Strike Teams.

Benefits: Enhance the capabilities and readiness of the National Strike Teams to respond to a major environmental accident.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	6	6	53	0	65
PLANNED	10	8	67	0	85

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	7,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Equipment and storage facility acquisition	LS	---	7,000

DEPT. OF TRANSP., USCG, CGHQ-[illegible] (REV. [illegible])
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE KODIAK, AK - AIR STATION KODIAK RAMP AND HANGAR PARKING AREA PAVING	NEAREST CITY & CONGRESSIONAL DISTRICT KODIAK, AK - 1ST	AMOUNT REQUESTED $2,700,000

Reason for Request: To pave portions of the aircraft fueling and parking ramp and hangar parking area at Air Station Kodiak.

Description of Problem or Need: The aircraft assigned to Air Station Kodiak have increased in both size and number since 1972 when the Coast Guard assumed responsibiilty for maintenance and operation of the Air Station. Insufficient usable ramp space causes daily parking, fueling, and maneuvering problems. Additionally, the gravel portions of the ramp, and parking area adjacent to it, are a hazard to aircraft engines and airframes. More than 50% of the ramp is gravel and dirt and is unusable for aircraft operations. Since the unpaved sections are in the center of the ramp, aircraft must be towed rather than taxied to fueling and parking positions, and the Search and Rescue alert helicopter must be parked 1/8 mile from ready crew facilities, causing delays in launching aircraft.

Description of Solution: Pave approximately 240,000 square feet of ramp area currently consisting of gravel and dirt, and approximately 61,000 sq. ft. of parking area located immediately north of the ramp. Regrade aircraft ramp areas to eliminate potential safety hazards in the towing and transit of helicopters and C-130 aircraft. This project will include tiedowns for helicopters, grounding spots, drainage provisions, and curbing where required.

Benefits: This project will provide sufficient ramp space to accommodate the size and number of aircraft currently assigned to Air Station Kodiak. The project will also eliminate the current potential engine and airframe damage caused by the presence of loose gravel in the center of the ramp and the parking area located to its immediate north. The safety and efficiency of ground handling operations will be increased.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT		NOT APPLICABLE			
PLANNED		NOT APPLICABLE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	1,810

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Ramp sitework/improvements	LS	---	635
2.	Ramp paving	SF	240,000	1,733
3.	Parking area paving	SF	61,000	332
	TOTAL			2,700

DEPT. OF TRANSP., USCG, CGHQ-[illegible] (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE CHARLESTON, SC - ESTABLISH AIR FACILITY	NEAREST CITY & CONGRESSIONAL DISTRICT CHARLESTON, SC - 1ST SAVANNAH, GA - 1ST	AMOUNT REQUESTED $2,700,000

Reason for Request: To establish a Coast Guard air facility at Charleston, South Carolina, which will provide Search and Rescue (SAR) service in the Charleston area and along the South Carolina coast. Establishment of this facility was mandated by Congress in the Coast Guard Authorization Act of 1988 and must be operational by October 1, 1990.

Description of Problem or Need: There are no shore facilities currently available in the Charleston area to fulfill the Coast Guard's requirement to operate and support a deployed helicopter.

Description of Solution: Establish a Coast Guard air facility in Charleston, South Carolina. The planned concept of operations is to deploy one HH-65A helicopter and crew from Air Station Savannah to Air Facility Charleston on a scheduled basis. Two HH-65A helicopters and associated personnel will be added to Air Station Savannah (located 79 miles south of Charleston -- 30 minute HH-65A transit time) to support this mission. Minor modifications to Air Station Savannah's shore facilities are required to support the additional aircraft and personnel. Since only unscheduled aircraft maintenance will be accomplished at Charleston, minimal shore facilities will be required. Air Facility Charleston's shore facility requirements include a hangar capable of sheltering one HH-65A helicopter, maintenance shops, and personnel support spaces.

Benefits: SAR response in the Charleston, South Carolina, area will be improved by eliminating the 30 minute HH-65A helicopter transit time from Savannah to Charleston. This equates to an overall decrease in response time of 12 percent.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
AIR STATION SAVANNAH					
CURRENT	17	1	41	1	60
PLANNED	29	1	65	1	96
AIR FACILITY CHARLESTON					
CURRENT	---	---	---	---	---
PLANNED	---	---	1	---	1

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Air Station Savannah Watchstander Berthing	1985	400
Air Station Savannah Hangar Construction	1989	3,900

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Air Facility Charleston Hangar Facility Construction and related site development	LS	---	1,930
2.	Air Facility Charleston office/shop outfitting	LS	---	330
3.	Air Station Savannah facility modifications and related site development	LS	---	290
4.	Air Station Savannah office/shop outfitting	LS	---	150
		TOTAL		2,700

DEPT. OF TRANSP., USCG, CGHQ-4385 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**		
PROJECT TITLE	ELIZABETH CITY, NC - SUPPORT CENTER ELIZABETH CITY HH-60J - TRAINING FACILITY	NEAREST CITY & CONGRESSIONAL DISTRICT ELIZABETH CITY, NC-1ST	AMOUNT REQUESTED $2,100,000

Reason for Request: To construct maintenance training facilities for the Aviation Technical Training Center (ATTC) at Support Center Elizabeth City in support of the new HH-60J helicopters.

Description of Problem or Need: The HH-60J is the new generation of medium range recovery helicopter scheduled to replace the HH-3F. No facilities are available at ATTC to provide the required HH-60J maintenance training.

Description of Solution: Construct a new facility for the ATTC to consolidate the existing avionics training with the required HH-60J maintenance training.

Benefits: HH-60J maintenance training will be provided as required, ensuring a smooth transition of the HH-60J into service throughout the Coast Guard. Consolidation of three avionics spaces provides for better space utilization at ATTC. Valuable training aircraft will be located in a properly protected hangar.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	2	5	92	7	106
PLANNED	2	6	104	7	119*

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Remediation of Groundwater Contamination	1987	750
Remediation of Groundwater Contamination	1988	550
Underground Storage Tank Cleanup	1989	1,000
Health Care Facility	1990	3,190**

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,100
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	28,550

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Sitework	LS	---	150
2.	Exterior Utilities	LS	---	200
3.	Building Construction	SF	14,200	1,550
4.	Outfitting	LS	---	200
	TOTAL			2,100

NOTES: *Thirteen new billets will be added to the ATTC staff to provide for the HH-60J training.
**Reflects 0.3% Byrd Amendment (P.L. 100-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CG-[illegible] (REV. [illegible])
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
KODIAK, AK - SUPPORT CENTER KODIAK FIRE STATION	KODIAK, AK - 1ST	$4,200,000

Reason for Request: To replace the existing substandard fire station which is both physically and functionally inadequate.

Description of Problem or Need: The existing fire station built in 1944 does not meet Coast Guard space standards, does not provide enclosed protection for all response vehicles, nor does it meet safety and electrical codes. The existing location does not meet the required response time criteria to crash fires at the airport and to structural fires at the Nemetz Park and Lake Louise housing per FAA and Navy standards.

Description of Solution: Construct a new main fire station more centrally located to meet response time criteria. The new station will include adequate space for response vehicles, crew berthing, administration and operations center. Demolish existing facility upon completion of the new station.

Benefits: Response time criteria required to protect life and property can be met. Functional space needs met. Improved working conditions will improve crew morale. All response vehicles will be under cover thereby reducing maintenance and improving reliability.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	22	9	176	64	271*
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Health Care Facility	1986	6,000
Lake Louise Housing	1988	8,140
Underground Storage Tank Cleanup	1988	1,000
Fuel Farm Containment	1990	1,894**

SUMMARY ($000)

AMOUNT OF THIS REQUEST	4,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	37,400

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Sitework (including demolition)	LS	---	550
2.	Exterior Utilities	LS	---	80
3.	Fire Station Construction	SF	16,620	3,450
4.	Outfitting	LS	---	120
		TOTAL		4,200

NOTES: *Operational staffing figures for Support Center only.
**Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4285 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE KODIAK, AK - SUPPORT CENTER KODIAK NEMETZ PARK ROADS AND GROUNDS IMPROVEMENTS		NEAREST CITY & CONGRESSIONAL DISTRICT KODIAK, AK -1ST	AMOUNT REQUESTED $3,000,000

Reason for Request: To improve the housing environment at this remote location by improving vehicle and pedestrian circulation, the material condition of existing roadways and grounds, and by consolidating utilities below grade.

Description of Problem or Need: The overall layout and condition of the roads and grounds in the Nemetz Park housing area are substandard. There is no separation of pedestrian and vehicular traffic, no organized parking, and poor drainage exists throughout. Lack of organized play areas results in inappropriate use of unsafe play surfaces. There is no sense of community, which has a negative effect on morale of the housing residents.

Description of Solution: Upgrade existing roadways with new traffic circulation layout and paving. Provide adequate drainage. Install sidewalks and curbing. Provide site amenities to include landscaping, covered play areas, bus shelters and recreational vehicle parking. Bury overhead electric, television, and telephone cables.

Benefits: Improved safety from separation of pedestrian and vehicular traffic. Improved living conditions and associated morale impact for over 2,500 active duty military and their dependents. Organization of parking and service areas. Designated appropriate play areas. Improved site drainage and maintenance.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	22	9	176	64	271*
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Health Care Facility	1986	6,000
Lake Louise Housing	1988	8,140
Underground Storage Tank Cleanup	1988	1,000
Fuel Farm Containment	1990	1,894**

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	37,400

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Sitework including demolition	LS	---	1,370
2.	Exterior Utilities	LS	---	740
3.	Construction	LS	---	800
4.	Outfitting	LS	---	90
			TOTAL	3,000

NOTES: * Operational staffing figures for Support Center only.
** Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4365 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
BALTIMORE, MD - COAST GUARD YARD - UPGRADE MECHANICAL SHOPS	BALTIMORE, MD - 3RD	$3,700,000

Reason for Request: To renovate, upgrade, and expand the existing mechanical shops.

Description of Problem or Need: The configuration and size of the existing industrial shop complex at the Coast Guard Yard is inadequate, and productivity can be increased through structural upgrading. The 50 year-old buildings housing the shops are not energy efficient and require upgrading to present-day safety standards. The outside machine shop is in building #58 and is poorly configured for present operations. The inside machine shop is located in a corrugated steel building (#11) and is also poorly configured for present operations.

Description of Solution: The replacement facility will provide 23,000 additional square feet by enclosing the area between buildings #58 and #8, along with renovation of 8,500 square feet of space in the pipe shop (building #8). The pipe, inside and outside machine shops, and mobile equipment maintenance will be located in the replacement complex. The corrugated steel building (#11) will be used for covered storage of materials used in the machine shop.

Benefits: More efficient use of existing space will be realized, as well as better work flow patterns in the pipe shop, motor equipment maintenance area, and outside and inside machine shops. Safer working conditions, and reduced costs for units of work will result from improved facility and machinery layout. Buildings will be up to present-day standards for safety and fire protection.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	21	12	123	656	812
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Closed Cycle Sand Blast Facility	1985	1,766
MK 75 Ordnance Repair Facility	1987	1,200*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,700
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	20,850

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Demolition (including sitework)	LS	---	180
2.	Exterior Utilities	LS	---	250
3.	Building Construction	SF	31,500	2,530
4.	Outfitting	LS	---	610
5.	Equipment Relocation	LS	---	130
	TOTAL			3,700

NOTES: *Funds were provided by the Coastal Defense Augmentation Account (CDAA).

DEPT. OF TRANSP., USCG, CGHQ-4355 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE	BALTIMORE, MD - REPLACE COAST GUARD YARD PORTAL CRANE #2	NEAREST CITY & CONGRESSIONAL DISTRICT BALTIMORE, MD - 3RD	AMOUNT REQUESTED $2,000,000

Reason for Request: To replace portal crane #2 at the Coast Guard Yard, Curtis Bay, MD. The crane has exceeded its economic service life.

Description of Problem or Need: Crane #2 services Drydock #2 and Pier #2. It is mainly used to support exposed hull work and minor structural renovation work. The crane is over 40 years old and beyond its expected service life of 25 years. The crane is no longer in production; hence, the manufacturer no longer maintains a spare parts inventory. The crane is an integral part of major Yard projects such as the 180-foot Buoy Tender (WLB) Service Life Extension Project (SLEP) and the 210-foot Medium Endurance Cutter (WMEC) Major Maintenance Availability (MMA) project.

Description of Solution: The replacement crane will be capable of lifting 10,000 pounds at a reach of 120 feet. The new crane will mean less crane downtime and reduced maintenance expenses. The new crane will provide the reach, hoist, reliability, and enhanced safety to work cutters moored to Pier #2 and Drydock #2.

Benefits: The new crane will have greater reach, will be safer for more kinds of lifts, and will be reliable for more days of the year than the existing crane. Maintenance of production schedules and attainment of cost goals for Yard production will be improved.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	21	12	123	656	812
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Closed Cycle Sand Blast Facility	1985	1,766
MK 75 Ordnance Repair Facility	1987	1,200*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	20,850

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Replace Portal Crane #2	LS	---	2,000

NOTES: *Funds were provided by the Coastal Defense Augmentation Account (CDAA).

DEPT. OF TRANSP., USCG, CG-[illegible] (REV. [illegible])
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
NEW YORK, NY - SUPPORT CENTER NEW YORK HEALTH CARE FACILITY	NEW YORK, NY - 19TH	$7,600,000

Reason for Request: To provide adequate health care facilities by renovating available building space at the Support Center located on Governor's Island.

Description of Problem or Need: The existing health care facilities are split among three poorly adapted, physically inadequate buildings circa 1933-1942. The facilities are functionally obsolete for out-patient care, and buildings have deteriorated to a point where sanitary standards cannot be maintained. All building utilities need to be replaced. The facilities are maintenance intensive and energy inefficient.

Description of Solution: Renovate Building #550 to contain all medical, dental and medical supply functions.

Benefits: A functionally adequate and efficient health care facility for all users. On-island 24-hr Emergency Medical Services. Recurring maintenance and energy savings. Improvement of the most significant quality of life issue at the Support Center.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	30	16	185	301	532*
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	**YEAR**	**AMOUNT ($000)**
Family Housing	1986	5,000
Electrical Distribution System	1987	3,400
Family Housing	1987	5,600

SUMMARY ($000)

AMOUNT OF THIS REQUEST	7,600
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	41,000

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		**MEASURE**	**QTY**	**ESTIMATED COST ($000)**
1.	Building Renovation	LS	---	7,600

NOTES: *Operational staffing figures for Support Center only.

DEPT. OF TRANSP., USCG, [illegible] (REV. [illegible])
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**		
PROJECT TITLE	MOBILE, AL - AVIATION TRAINING CENTER MOBILE - HH-60J SIMULATOR FACILITY	NEAREST CITY & CONGRESSIONAL DISTRICT MOBILE, AL - 1ST	AMOUNT REQUESTED $1,200,000

Reason for Request: To construct a simulator training facility in support of the new HH-60J helicopters.

Description of Problem or Need: The HH-60J helicopter is scheduled to replace the HH-3F medium range recovery helicopter. Existing facilities are inadequate at Aviation Training Center Mobile to house the HH-60J simulator which will be used to train pilots for the new aircraft.

Description of Solution: Construct an addition to the existing simulator training building. Remove the existing HH-52 simulator and reconfigure the vacated space to various support rooms and spaces. Renovate pump and mechanical rooms.

Benefits: In-house HH-60J simulator training for pilots would be in place as the HH-60Js are delivered. The simulator-based training program maintains a significant cost/benefit ratio over aircraft only instruction.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	93	11	316	23	443
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
HH-60 Medium Range Recovery Helicopter Replacement Program (+Simulator)	1990	131,604*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Sitework (including demolition)	LS	---	40
2.	Exterior Utilities	LS	---	60
3.	Building Construction	LS	---	1,060
4.	Outfitting	LS	---	40
	TOTAL			1,200

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs. In 1990, $20,400,000 of funds appropriated for the HH-60J Helicopter Replacement project funded the HH-60J Simulator.

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**		
PROJECT TITLE PUBLIC FAMILY QUARTERS		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $13,500,000

Reason for Request: To continue providing adequate family housing in certain duty areas in the U.S. and overseas where the housing supply is insufficient or inadequate to meet the minimum requirements of Coast Guard assigned personnel. Coast Guard-owned housing is acquired only where other alternatives are inadequate, not available, or not cost effective.

Description of Problem or Need: Based on criteria in OMB Circular A-18, the locations named below are found to lack sufficient community housing resources for rent or purchase by assigned personnel or for Coast Guard lease. Adequacy criteria consider cost and suitability elements (size, bedrooms, condition) as well as commuting factors (time, distance, cost).

Description of Solution: The projects listed below are representative of those which will comprise the FY 1991 Public Family Housing program. This program will provide approximately 82 units of family housing in 1991. Final selection of the sites and maximum number of units to be constructed on those sites will depend on land acquisition, market conditions, and progress in construction bidding. Where feasible, joint construction with other government agencies and/or renovation of existing housing will continue, including demolition of deteriorated/inadequate units.

Benefits: This additional housing will reduce the number of Coast Guard personnel inadequately housed and enable Coast Guard mission performance to proceed without Coast Guard personnel inconvenience from the shortage of adequate housing. This project will improve the quality of life for Coast Guard personnel and their dependents.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	0	3	64	65	132*
PLANNED	0	3	69	65	137

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Construct/purchase approx 60 units	1986	8,500
Construct/purchase approx 57 units	1987	8,300
Construct/purchase approx 71 units	1988	10,400
Construct/purchase approx 60 units	1989	4,400
Construct/purchase approx 106 units	1990	9,970**

SUMMARY ($000)

AMOUNT OF THIS REQUEST	13,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	93,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Kodiak, AK	EA	40	9,600
2.	Cape Cod, MA ***	EA	30	2,200
3.	St Ignace, MI	EA	12	1,700
	TOTAL			13,500

Notes: *Personnel strength includes only those personnel directly associated with operation and maintenance of Coast Guard owned housing sites.
**Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.
***This project will reactivate housing units acquired from the U.S. Air Force. The land is owned by the Commonwealth of Massachusetts.

DEPT. OF TRANSP., USCG, CGHQ-4263 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
BURLINGTON, VT - REPLACE STATION BURLINGTON	BURLINGTON, VT - 1ST	$3,500,000

Reason for Request: To construct a multipurpose building and shop complex and replace the breakwater.

Description of Problem or Need: The existing facility, constructed over 40 years ago to support 4 personnel, now supports 19 and consists of a 1,200 square foot (SF) station building and a 1,350 SF garage/equipment building. Aids-to-navigation maintenance was originally the only mission; therefore, the facility was designed with the premise that it would be manned only during normal working hours and, as required during emergencies. Other missions including Search and Rescue (SAR), Port Security and Safety (PSS), and Recreational Boating Safety (RBS) were added over the years as the local population and activity on the Lake expanded. The facility has not grown concomitantly, and the Station buildings are too small, deteriorated, unsafe and energy inefficient. Since there are no watchstander quarters, the SAR duty section and boat crew are berthed off-station, thus, increasing SAR response time. The existing breakwater is not high enough or long enough to protect the Station property and boat basin from wind-driven waves, resulting in unnecessary risk of damage to boats and equipment.

Description of Solution: Build a new multimission station building on the existing site, including administration, operations, berthing and galley/mess; renovate and expand the shop building; and rebuild the breakwater.

Benefits: This project will result in a fully operational facility that meets current Coast Guard space standards for personnel and boats assigned. On-station berthing will prevent delays in response time. Protection of boats will result in cost avoidance for maintenance and damage repair. Overall mission effectiveness will be enhanced for this station whose 5-year average SAR workload is 240 cases; 17 lives saved and $3,118,000 in property damage prevented per year.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	0	0	19	0	19
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	3,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Construct a multipurpose building, and shop complex (includes demolition/outfitting)	LS	---	1,720
2.	Rebuild breakwater	LS	---	980
3.	Remediate contaminated soil	LS	---	800
	TOTAL			3,500

DEPT. OF TRANSP., USCG, CGHQ-4355 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
PROJECT TITLE NEW SMYRNA BEACH, FL - REHABILITATE STATION PONCE DE LEON INLET		NEAREST CITY & CONGRESSIONAL DISTRICT NEW SMYRNA BEACH, FL	AMOUNT REQUESTED $2,000,000

Reason for Request: To enhance the operational effectiveness of Station Ponce de Leon Inlet.

Description of Problem or Need: The existing facility is 50 years old and is a typical wood frame, 1930's Lifeboat Station, similar in design to other multimission stations located in the southeastern U.S. Fire safety and electrical wiring are major safety concerns. Increases in operational workload, missions, boat size/complexity and personnel requirements have made the existing facilities obsolete. Originally constructed for a complement of 15, it now supports 30 regular personnel (including 4 deployable law enforcement billets) plus 40 reservists. It is 20 years beyond its expected 30-year economic life. The inlet on which it is located can be extremely treacherous for boaters due to the shifting shoals, seas that often exceed 10 feet, and five knot currents. Because of the conditions in this inlet, the station is designated as a surf station in the winter and uses the only 44' Motor Life Boat (MLB) assigned to the Seventh District. Due to the shoals, the trailerable boat, which requires a boat ramp, is used in response to many search and rescue (SAR) cases. Presently, the public boat ramp located several miles from the Station is used, causing delays in response time.

Description of Solution: Expand and extensively renovate the existing Station building. The existing garage will be demolished, and the boathouse renovated. The waterfront facilities will be improved with the installation of a boat ramp.

Benefits: The boat ramp will reduce average response time for shallow water SAR boats by one-third. Renovation of the Station facilities will preserve, upgrade, and extend the expected economic life of the buildings, mitigate safety hazards, and improve the functional use of the spaces. Overall SAR mission effectiveness will be enhanced for this station whose annual average SAR workload over the last five years is 430 cases, 29 lives saved, and $1,567,000 in property loss prevented per year.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	---	---	34	---	34
PLANNED	---	---	35	---	35

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	2,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Sitework (including demolition)	LS	---	280
2.	Exterior Utilities	LS	---	93
3.	Waterfront Construction	LS	---	43
4.	Building Construction	SF	6,836	812
5.	Building Renovation	SF	8,126	606
6.	Outfitting/Relocation	LS	---	166
	TOTAL			2,000

DEPT. OF TRANSP., USCG, CGHQ-4288 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**	
PROJECT TITLE EAST TAWAS, MI - REBUILD STATION TAWAS - PHASE II	NEAREST CITY & CONGRESSIONAL DISTRICT EAST TAWAS, MI - 11TH	AMOUNT REQUESTED $1,400,000

Reason for Request: To complete the relocation of Station Tawas begun in Phase I.

Description of Problem or Need: Rebuilding Station Tawas was originally envisioned as a single phase (FY 1990) project with an approved cost of $2,200,000. Costs for the total project have risen to $3,600,000. A second phase will be required to complete the project. Phase I will relocate the current berthing and operational functions to a new building near the existing moorings. This leaves the existing moorings, and shop spaces which have exceeded their design life and are functionally obsolete.

Description of Solution: Complete the relocation and improvement of Station Tawas by providing shop spaces, a boathouse, an extended causeway and boat slips.

Benefits: Operational effectiveness and crew quality of life will improve with adequate working and living conditions. A modern maintenance facility will improve vessel reliability and resolve safety hazards inherent in the aged facility. This station provides operational coverage which encompasses 4,000 square miles of the Lake Huron area, the largest area of responsibility for a station in the Ninth Coast Guard District. This remote station's five year Search and Rescue workload averages are 151 cases, 9 lives saved and $444,000 in property loss prevented per year.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT..	---	---	25	---	25
PLANNED..			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Replace Station Tawas - Phase I	1990	2,193*

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	1,400
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT..................................	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY.................................	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Sitework (including demolition)...........................	LS	---	203
2.	Exterior Utilities..	LS	---	84
3.	Waterfront Construction...................................	LS	---	483
4.	Building Construction.....................................	SF	4,770	520
5.	Other...	LS	---	110
	TOTAL			1,400

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
CHINCOTEAGUE, VA - GROUP EASTERN SHORE RENOVATION - PHASE III	CHINCOTEAGUE, VA - 1ST	$4,200,000

Reason for Request: To complete the third and final phase of a site renovation project for Group Eastern Shore.

Description of Problem or Need: The existing Group building, built during the 1930s, is inadequate for the support now required. The building, which houses administration, operations, and non-appropriated funds (NAFA) activities has settled unevenly, is in poor structural condition, uninsulated, and overcrowded. There is no Unaccompanied Personnel Housing (UPH) or Enlisted Dining Facility (EDF). The surrounding community is a small fishing and tourist town with minimal rental quarters available for accompanied or unaccompanied personnel. Quarters being leased are generally old, functionally inadequate, unimproved and unfurnished. A sewage treatment system will be required to support the entire complex with the addition of the UPH and EDF to the site.

Description of Solution: Replace existing Group Building with a multipurpose building including administration, operations, NAFA, UPH and EDF and demolish existing Group Building and old Station Building. Add operations and engineering officers to satisfy minimum staffing requirements, and provide staff to support UPH and EDF.

Benefits: Improved command structure and management. Improved living and working conditions. Reduced energy consumption. More effective utilization of financial and personnel resources. This project will significantly enhance the command and support that the Group can provide to its sub-units as well as provide necessary physical and electronic security enhancements for Maritime Defense Zone requirements.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	1	1	30	---	32
PLANNED	2	2	37	---	41

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Renovate waterfront area, develop site for Group Eastern Shore (Phase I)	1976	1,300
Construct new Station Chincoteague, VA (Phase II)	1984	2,000

SUMMARY ($000)

AMOUNT OF THIS REQUEST	4,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Sitework (including demolition)	LS	---	360
2.	Exterior Utilities	LS	---	562
3.	Building Construction	LS	---	2,743
4.	Outfitting	LS	---	535
	TOTAL			4,200

DEPT. OF TRANSP., USCG, CGHQ-4383 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO.	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS		
1991			
PROJECT TITLE	KEY WEST, FL - CONSTRUCT VESSEL SUPPORT BUILDING	NEAREST CITY & CONGRESSIONAL DISTRICT KEY WEST, FL - 19TH	AMOUNT REQUESTED $1,200,000

Reason for Request: To construct a vessel support building to house a Maintenance Augmentation Team (MAT), and the Surface Effect Ship (SES) Division administrative and maintenance shops.

Description of Problem or Need: A facility is required to support two 270' Medium Endurance Cutters and three Surface Effect Ships homeported in Key West. The SES Division building is structurally unsafe. No engineering facilities are presently available to support 270' cutters. The temporary MAT facility is inadequate for continued use.

Description of Solution: Construct a single facility of 11,300 square feet to consolidate vessel maintenance shops, shore side equipment storage, and administrative offices. Demolish the existing SES Division building.

Benefits: New facilities will improve habitability and enhance safety and occupational health by providing adequate working environment. Single building concept will increase efficiency through the effective use of shore plant resources and personnel.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT	9	2	96	---	107*
PLANNED			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
No prior appropriations		

SUMMARY ($000)

AMOUNT OF THIS REQUEST	1,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Sitework (including demolition)	LS	---	30
2.	Exterior Utilities	LS	---	20
3.	Building Construction	SF	11,300	1,100
4.	Outfitting	LS	---	50
	TOTAL			1,200

NOTES: *Personnel include MAT and SES Division

DEPT. OF TRANSP., USCG, CGHQ-4365 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
ILWACO, WA - RENOVATE CAPE DISAPPOINTMENT FACILITIES	**ILWACO, WA - 3RD**	**$3,200,000**

Reason for Request: To renovate and enlarge the shore facilities at Station Cape Disappointment and the National Motor Life Boat School (NMLBS).

Description of Problem or Need: This facility was constructed as a Station for 45 people. It was partially rebuilt in 1967. Its mission was expanded in 1971 as a training center for motor life boat (MLB) operators in dangerous surf conditions and to include a National Station MLB Standardization Unit. There are now 78 crew members plus 12 students stationed there. The facility is inadequate from berthing, food service, administrative, training, storage, and support aspects. All of the old utility systems are failing.

Description of Solution: Construct a new NMLB school; build additions to boat maintenance and station building; and rehabilitate the station and school buildings.

Benefits: A greater student throughput will be realized which is particularly important as the new 47-foot MLB is introduced to the fleet in the early 1990s. The expanded facility will relieve overcrowded maintenance spaces to allow for more thorough and timely repair and preventive maintenance, thereby increasing critical boat reliability in hazardous surf conditions. Renovations will provide administrative space for the National Station MLB Standardization Team. The Station's 5-year workload averages 372 cases, 21 lives saved, and $1,004,000 property loss prevented per year. 132 Coxswains will be trained in surf conditions annually.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT..	1	2	75	---	78
PLANNED..			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Cape Disappointment Waterfront Expansion	1981	1,400

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	3,200
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT..........................	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY.........................	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Sitework (including demolition)...........................	LS	---	411
2.	Exterior Utilities..	LS	---	145
3.	Waterfront Construction...................................	LS	---	14
4.	Building Construction and Rehabilitation..................	SF	20,735	1,963
5.	Outfitting and Relocation Costs	LS	---	667
	TOTAL			3,200

DEPT. OF TRANSP., USCG, CGHQ-4285 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**		
PROJECT TITLE	KETCHIKAN, AK - BASE KETCHIKAN STORAGE FACILITY	NEAREST CITY & CONGRESSIONAL DISTRICT KETCHIKAN, AK - 1ST	AMOUNT REQUESTED $3,000,000

Reason for Request: To replace functionally obsolete, inadequate, and overcrowded supply/storage facilities.

Description of Problem or Need: Existing storage buildings are all circa 1943 wood frame buildings that are well beyond their economic design life, thus presenting potential fire and safety hazards.

Description of Solution: Build a replacement 20,000 square foot supply/storage building, a 1,000 square foot hazardous waste storage building to comply with Federal Law, and a 5,000 square foot covered boat/vehicle storage building.

Benefits: Operational effectiveness, personnel safety, morale and retention will all be enhanced by providing spaces which meet minimum space standards for personnel and equipment assigned. Ensure compliance with hazardous waste handling requirements.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT..	7	4	80	19	110
PLANNED..			NO CHANGE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Ketchikan Unaccompanied Personnel Housing/Galley/Mess - Phase I.....	1987	2,973
Ketchikan Unaccompanied Personnel Housing/Galley/Mess - Phase II....	1990	4,885*

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	3,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT..................................	---
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY.................................	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Replacement supply/storage, hazardous waste storage, and covered boat/vehicle storage buildings........	SF	26,000	3,000

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS

PROJECT TITLE	NEAREST CITY & CONGRESSIONAL DISTRICT	AMOUNT REQUESTED
WATERWAYS AIDS-TO-NAVIGATION PROJECTS	VARIOUS	$7,000,000

Reason for Request: To improve aids to navigation which have become inadequate because of changes in waterway usage or U. S. Army Corps of Engineers projects which extend or improve the navigable waters of the U. S.

Description of Problem or Need: Continuing Corps of Engineers work on projects authorized in the Water Resources Development Act of 1986 at a cost exceeding $1,500,000,000 requires expanded aids-to-navigation to facilitate transit of the channels. Waterways Analysis and Management System (WAMS) studies have identified deficiencies resulting from increases and changes in traffic, hazardous cargo or vessel size.

Description of Solution: Install buoys and fixed structures to provide a safe and efficient aids-to-navigation system. Projects are based on Corps of Engineers channel designs or on WAMS identified deficiencies. They will improve service and make changes necessitated by acts of nature. Primary projects include improving aids to navigation in Chesapeake Bay, New York Harbor, Sandy Hook, NJ, and Kings Bay, GA. All new and replacement aids are designed for low-cost construction and maintenance.

Benefits: Support national security and maritime commerce by reducing the potential for life-threatening and costly accidents. Realize full benefit of improving deep draft channels (Corps of Engineers projects) in New York Harbor and Chesapeake Bay. Avoid placing navigation restrictions on some types of vessels due to inadequate aids to navigation systems.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT..			NOT APPLICABLE		
PLANNED..			NOT APPLICABLE		

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Waterways Aids-to-Navigation Projects..............................	1986	2,700
Waterways Aids-to-Navigation Projects..............................	1987	2,000
Waterways Aids-to-Navigation Projects..............................	1988	2,000
Waterways Aids-to-Navigation Projects..............................	1989	3,000
Waterways Aids-to-Navigation Projects..............................	1990	5,982*

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	7,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT..................................	17,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY.................................	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Establish new/improved aids-to-navigation to mark Corps of Engineers work in progress......................	LS	---	4,596
2.	Establish new/improved aids-to-navigation to mark identified deficiencies in various waterways.............	LS	---	2,404
	TOTAL			7,000

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

DEPT. OF TRANSP., USCG, CGHQ-4265 (REV. 9-84)
PREVIOUS EDITION IS OBSOLETE

FISCAL YEAR BUDGET ITEM NO. 1991	ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS	
PROJECT TITLE PERSONNEL AND RELATED COSTS	NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $30,536,000

Reason for Request: To provide funding for salaries, travel and support of 641 personnel in the Acquisition, Construction, and Improvement (AC&I) program. Each new project requires planning, contracting, provisioning, and inspection and associated expenses which are necessary to ensure timely delivery of a quality product.

Description of Problem or Need: AC&I personnel and related expenses are essential to effective and timely execution of the AC&I program. Expenses include:

(a) salaries of engineers, inspectors, lawyers, contracting, accounting and clerical personnel assigned to the program;
(b) personnel support costs reimbursed to the Coast Guard Operating Expenses Appropriation;
(c) miscellaneous supplies, equipment, materials, travel and per diem; and
(d) contractual acquisition and support services.

Description of Solution: The programming of AC&I personnel is a continuous process. The authorized personnel strength of a given fiscal year is allocated to ongoing projects, new projects, and approved future project activities. As ongoing projects are completed, associated staff are reassigned to new project requirements. Cumulative project workload during FY 1991 will create a need to maintain current levels of personnel resources. New and ongoing activities supported by the requested staff include a variety of projects such as: 378-foot High Endurance Cutter/Fleet Renovation and Modernization (WHEC/FRAM); 210-foot Medium Endurance Cutter (WMEC) Major Maintenance Availability (MMA); Heritage Class Patrol Boat; HH-60 Medium Range Recovery (MRR) helicopter replacement; Shore and Aids-to-Navigation (AtoN) Waterways projects; and support personnel for Configuration Management.

Benefits: This line item expedites AC&I planning and contracting and provides provisioning staffs, resident inspection offices (vessel/boat acquisition), aircraft program offices (aircraft acquisitions), and Facilities Design and Construction Centers (shore construction) with adequate resources to ensure that acquisitions meet contract specifications and schedules.

IMPACTS ON OPERATIONS AND/OR MAINTENANCE STAFFING
(AC&I FUNDED)

	CURRENT*	PLANNED
MILITARY	387	403
CIVILIAN	230	238
TOTAL POSITIONS	617	641
TOTAL FTE	586	626

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Personnel and related costs	1985	21,404
Personnel and related costs	1986	19,256
Personnel and related costs	1987	22,000
Personnel and related costs	1988	23,000
Personnel and related costs	1989	22,400
Personnel and related costs	1990	25,922*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	30,536
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	155,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Personnel compensation and benefits	LS	---	24,236
2.	Personnel support costs (standard OE cost reimbursement)	LS	---	3,500
3.	Miscellaneous direct equipment, materials, travel, per-diem.	LS	---	1,500
4.	Acquisition and support services (old survey and design item)	LS	---	1,300
	TOTAL			30,536

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**	
PROJECT TITLE **SURVEY AND DESIGN OF CUTTERS AND BOATS**	NEAREST CITY & CONGRESSIONAL DISTRICT **VARIOUS**	AMOUNT REQUESTED **$1,000,000**

Reason for Request: To accomplish advance engineering studies, model tests, design work specification preparation, technical support services, and research projects in anticipation of future year programs in boat and cutter construction, renovation, and maintenance.

Description of Problem or Need: Effective planning requires survey and design funds in advance of actual commencement of projects. This assures timely execution of programmed funding and produces a superior finished project. These technical projects are in addition to in-house efforts. They touch upon many upcoming programs including Buoy Tender (WLB) replacement, Polar Icebreaker mid-life maintenance availability, 120' Heritage Class Patrol Boat design support, and other cutter and boat endeavors. The request also provides for feasibility and research studies for construction and major alterations to vessels and boats.

Description of Solution: Program is a continuation of previously established long range planning.

Benefits: This project provides for necessary studies, surveys, plans and designs to effectively use Acquisition, Construction and Improvements funds. Where necessary, timely outside assistance will be provided to supplement in-house expertise.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT..		NOT APPLICABLE			
PLANNED..		NOT APPLICABLE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Survey and Design of Cutters and Boats.........................	1986	1,500
Survey and Design of Cutters and Boats.........................	1987	900
Survey and Design of Cutters and Boats.........................	1988	1,000
Survey and Design of Cutters and Boats.........................	1989	900
Survey and Design of Cutters and Boats.........................	1990	897*

SUMMARY ($000)

AMOUNT OF THIS REQUEST..	1,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT..............................	4,500
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY..............................	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Survey and Design - Boats and Cutters.....................	LS	---	1,000

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

FISCAL YEAR BUDGET ITEM NO. 1991	**ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS**		
PROJECT TITLE SURVEY AND DESIGN OF VARIOUS SHORE PROJECTS		NEAREST CITY & CONGRESSIONAL DISTRICT VARIOUS	AMOUNT REQUESTED $5,000,000

Reason for Request: To ensure efficient and effective execution of shore construction projects in future years through advance surveys, design, and planning in 1991. The projects for which this preliminary work must be accomplished are part of the long range plans for facility renovations, replacements, and expansions.

Description of Problem or Need: Survey and design funds are required to plan effective shore construction projects and to ensure timely accomplishment of projects consistent with the year in which funds are appropriated. FY 1991 survey and design funds will be used for advance engineering studies, the design of future major projects and additional contractual architectural/engineering efforts to supplement in-house capability. Funds will be used for site surveys, options, and the purchase of real property to ensure availability for future construction.

Description of Solution: This is a continuing program and does not differ except in scope from the existing program.

Benefits: This project provides necessary land, studies, surveys, plans, and designs to maximize timely and effective use of Acquisition, Construction and Improvements funds when appropriated, and provides the additional architectural/engineering, project, engineering, and financial management efforts to supplement in-house capability.

IMPACT ON OPERATIONS AND/OR MAINTENANCE STAFFING
(NON AC&I FUNDED)

	OFF	WRNT	ENL	CIV	TOTAL
CURRENT		NOT APPLICABLE			
PLANNED		NOT APPLICABLE			

APPROPRIATION HISTORY

PROGRAM	YEAR	AMOUNT ($000)
Survey and Design of Various Facilities	1987	3,300
Survey and Design of Various Facilities	1988	2,800
Survey and Design of Various Facilities	1989	3,500
Survey and Design of Various Facilities	1990	3,091*

SUMMARY ($000)

AMOUNT OF THIS REQUEST	5,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS PROJECT	31,000
ESTIMATED FUTURE COST NEXT 4 YEARS - THIS FACILITY	---

COST ESTIMATE OF WORK TO BE FUNDED THIS YEAR

ITEM NO.		MEASURE	QTY	ESTIMATED COST ($000)
1.	Survey and Design - Shore	LS	---	5,000

NOTE: *Reflects 0.3% Byrd Amendment (P.L. 101-164) reduction to fund the war on drugs.

COAST GUARD ENVIRONMENTAL COMPLIANCE AND RESTORATION ACCOUNT

For necessary expenses to carry out the Coast Guard's environmental compliance and restoration functions under Chapter 19 of Title 14 United States Code, $7,000,000. (Additional authorizing legislation to be proposed.)

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ENVIRONMENTAL COMPLIANCE AND RESTORATION ACCOUNT

Program and Financing (*in thousands of dollars*)

Identification code: *69-0230-0-1-304*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Program by activities:			
10.00 Total obligations	....	....	7,000
Financing:			
40.00 Budget Authority (appropriation) *	....	....	7,000
Relation of obligations to outlays:			
71.00 Obligations incurred net	....	....	7,000
74.40 Obligated balance, end of year	....	....	−6,000
90.00 Outlays	....	....	1,000

* Note: Reflects $7,000 thousand in budget authority in 1991 for select marine environmental protection activities previously financed in the Acquisition, Construction, and Improvements (AC&I) appropriation. Comparable amounts included in the AC&I appropriation are: In 1989 ($4,000 thousand) and in 1990 ($2,891 thousand).

COAST GUARD -- Environmental Compliance and Restoration Account

PROGRAM AND PERFORMANCE

The Coast Guard Environmental Compliance and Restoration Account consolidates resources provided to the Coast Guard to carryout its environmental compliance and restoration responsibilities resulting from the operation of former and current Coast Guard facilities.

Funds requested in fiscal year 1991 will be used for an ongoing service-wide program to correct environmental problems ranging from major upgrades of storage tanks containing petroleum and regulated substances to remediation efforts at hazardous substances disposal sites. Various Coast Guard facilities will be upgraded to bring them into full compliance with applicable federal, state, and local environmental regulations. In fiscal year 1991, particular emphasis will be placed on upgrades at Support Center Kodiak. Phase I of a project to provide remediation of fuel oil and other waste contamination identified in the groundwater and soil at various locations throughout the Kodiak Support Center will begin.

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ENVIRONMENTAL COMPLIANCE AND RESTORATION ACCOUNT
Object Classification *(in thousands of dollars)*

Identification code: 69-0230-0-1-304		1989 actual	1990 estimate	1991 estimate
21.0	Travel and transportation of persons	....	....	981
25.0	Other Services	....	....	420
26.0	Supplies and materials	....	....	700
31.0	Equipment	....	....	4,899
99.9	Total obligations	....	....	7,000

ALTERATION OF BRIDGES

For necessary expenses for alteration or removal of obstructive bridges, [$2,330,000] *$6,353,000,* to remain available until expended. *(Department of Transportation and Related Agencies Appropriations Act, 1990.)*

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ALTERATION OF BRIDGES

Program and Financing (in thousands of dollars)

Identification code: *69-0244-0-1-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Program by activities:			
10.00	Total obligations (object class 25.0)	16,175	4,200	7,200
	Financing:			
	Offsetting collections from:			
14.00	Non-federal sources	-516	-700	-700
17.00	Recovery of prior year obligations	-156	....	....
21.40	Unobligated balance available, start of year	-6,082	-4,079	-2,902
24.40	Unobligated balance available, end of year	4,079	2,902	2,755
39.00	Budget authority	13,500	2,323	6,353
	Budget Authority:			
40.00	Appropriation	8,500	2,330	6,353
40.00	Reduction pursuant to P.L. 101-164	....	-7	....
42.00	Transferred from other accounts	5,000	....	....
43.00	Appropriation (adjusted)	13,500	2,323	6,353

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ALTERATION OF BRIDGES
Program and Financing (in thousands of dollars) p.2

Identification code: *69-0244-0-1-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Relation of obligations to outlays:			
71.00	Obligations incurred net	15,659	3,500	6,500
72.40	Obligated balance, start of year	16,690	13,896	11,496
74.40	Obligated balance, end of year	−13,896	−11,496	−6,296
78.00	Adjustments in unexpired accounts	−156	....	....
90.00	Outlays	18,297	5,900	11,700

SUMMARY OF BUDGET AUTHORITY AND OUTLAYS
(in thousands of dollars)

Enacted/Requested:			
Budget Authority	13,500	2,323	6,353
Outlays	18,297	5,900	11,700
Proposed for later transmittal under proposed legislation:			
Budget Authority	....	....	−6,353
Outlays	....	....	−11,700
Total:			
Budget Authority	13,500	2,323	....
Outlays	18,297	5,900	....

AB
COAST GUARD -- Alteration of Bridges

PROGRAM AND PERFORMANCE

This appropriation provides the Government's share of the costs for altering or removing bridges determined to be obstructions to navigation. Generally, bridges to be altered were built with what are now insufficient vertical and/or horizontal clearances for free navigation on navigable waters of the United States. In 1991, $6.4 million is requested to continue alteration of the Norfolk Southern Railroad bridge over the Mississippi River, Hannibal, Missouri and for alteration of the CSX Railroad bridge over the Pascagoula River, Pascagoula, Mississippi. The request for 1991 also includes funds to begin alterations on the Burlington Northern Railroad bridge over the Mississippi River at Burlington, Iowa.

AB

U.S. COAST GUARD
Justification
Alteration of Bridges: 69-0244-0-1-403

Bridges to be altered generally were built with what are now insufficient vertical and/or horizontal clearances to allow free navigation on navigable waters of the United States. Administrative costs associated with this program are funded from "Operating Expenses."

Fiscal year 1991 funding of $6,353,000 is requested to continue work on the Mississippi River bridge at Hannibal, MO, for alteration of the CSX Railroad bridge at Pascagoula, MS, and to begin alterations on the Burlington Northern Railroad bridge at Burlington, IA.

Funding information on these (and one other) ongoing projects is as follows:

BRIDGE PROJECTS PROPOSED FOR FY 1991 FUNDING
(IN THOUSANDS OF DOLLARS)

BRIDGE/OWNER	ESTIMATED TOTAL COSTS	ESTIMATED U.S. COSTS	FUNDING TO DATE	FY 1991 PROGRAM NEEDS
Mississippi River,1/ Hannibal, MO Norfolk Southern Corp.	13,100	11,600	8,100	3,053
Pascagoula River,2/ Pascagoula, MO CSX-L&N Railroad	12,500	12,000	470	2,300
Mississippi River Burlington, IA Burlington-Northern Railroad	16,000	15,000	...	1,000

1/ Funding to date includes $5,000,000 for the Hannibal Bridge contained in the FY 1989 DOT Appropriations Act, P.L. 100-457.

2/ Cost estimates are preliminary and subject to change pending a full investigation of this project and a determination of the amount and type of effort that would be required in altering this bridge.

NOTE: This budget assumes that funding will be provided to the Corps of Engineers as the program managers, subject to enactment of proposed legislation to transfer the Alteration of bridges function to that agency.

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ALTERATION OF BRIDGES

(Proposed for later transmittal, proposed legislation)
Program and Financing (in thousands of dollars)

Identification code: *69-0244-0-1-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Program by activities:			
10.00 Total obligations (object class 25.0)	....	....	-7,200
Financing:			
14.00 Non-federal sources	....	....	700
24.40 Unobligated balance available, end of year	....	....	-2,755
25.00 Unobligated balance lapsing	....	....	2,902
40.00 Budget authority (appropriation) ...	....	....	-6,353
Relation of obligations to outlays:			
71.00 Obligations incurred, net	....	....	-6,500
73.40 Obligated balance transferred, net	....	....	-11,496
74.40 Obligated balance, end of year	....	....	6,296
90.00 Outlays	....	....	-11,700

RETIRED PAY

For retired pay, including the payment of obligations therefor otherwise chargeable to lapsed appropriations for this purpose, and payments under the Retired Serviceman's Family Protection and Survivor Benefits Plans, and for payments for medical care of retired personnel and their dependents under the Dependents Medical Care Act (10 U.S.C. ch. 55), [$420,800,000] *$437,300,000. (Department of Transportation and Related Agencies Appropriations Act, 1990.*

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RETIRED PAY

Program and Financing (in thousands of dollars)

Identification code: *69-0241-0-1-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Program by activities:			
00.01	Regular military personnel	335,225	361,421	370,196
00.02	Former Lighthouse Service personnel	1,084	1,079	1,030
00.03	Reserve personnel	14,702	15,397	17,434
00.04	Survivor benefit programs	6,782	7,153	9,315
00.05	Medical care	33,800	35,750	39,325
10.00	Total obligations	391,593	420,800	437,300
	Financing:			
25.00	Unobligated balance lapsing	19,207	....	....
40.00	Budget Authority (appropriation)	410,800	420,800	437,300
	Relation of obligations to outlays:			
71.00	Obligations incurred net	391,593	420,800	437,300
72.40	Obligated balance, start of year	45,053	44,918	44,918
74.40	Obligated balance, end of year	–44,918	–44,918	–44,918
77.00	Adjustments in expired accounts	–5,530	....	....
90.00	Outlays	386,198	420,800	437,300

COAST GUARD - Retired Pay

PROGRAM AND PERFORMANCE

This appropriation provides for retired pay of military personnel of the Coast Guard and Coast Guard Reserve, members of the former Lighthouse Service, and for annuities payable to beneficiaries of retired military personnel under the retired serviceman's family protection plan (10 U.S.C. 1431-46), and survivor benefit plans (10 U.S.C. 1447-55); and for payments for medical care of retired personnel and their dependents under the Dependents Medical Care Act (10 U.S.C., ch. 55).

The following tabulation shows the average number of personnel on the rolls for 1989 compared with estimated numbers for 1990 and 1991:

AVERAGE NUMBER

Category	1989 actual	1990 estimate	1991 estimate
Commissioned officers...	4,159	4,233	4,398
Warrant officers........	3,627	3,662	3,695
Enlisted personnel......	15,251	15,504	15,724
Former Lighthouse Service personnel.....	65	58	40
Reserve personnel.......	1,925	2,074	2,296
Total..............	25,027	25,531	26,153

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RETIRED PAY

Object Classification (in thousands of dollars)

Identification code: *69-0241-0-1-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
13.0	Benefits for former personnel	357,793	385,050	397,975
25.0	Other services	33,799	35,748	39,323
26.0	Supplies and materials	1	2	2
99.9	Total obligations	391,593	420,800	437,300

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD
Digest of Budget Estimates By Activities for Fiscal Year 1991

Appropriation: Retired Pay	*1989 Actual*		*1990 Estimate*		*1991 Estimate*		*Increase/Decrease (-) for 1991*	
	Average Number	*Amount*	*Average Number*	*Amount*	*Average Number*	*Amount*	*Average Number*	*Amount*
Program by activities:								
1. Regular military personnel...............	23,037	335,225	23,399	361,421	23,817	370,196	418	8,775
2. Former Lighthouse Service personnel.................................	65	1,084	58	1,079	40	1,030	(18)	(49)
3. Reserve personnel...........................	1,925	14,702	2,074	15,397	2,296	17,434	222	2,037
4. Survivor benefit program.................	xxx	6,782	xxx	7,153	xxx	9,315	xxx	2,162
5. Medical care, retirees and dependents.	xxx	33,800	xxx	35,750	xxx	39,325	xxx	3,575
Total operating costs, funded.........	25,027	391,593	25,531	420,800	26,153	437,300	622	16,500
Unobligated balance lapsing...........	xxx	19,207	xxx	....	xxx	....	xxx	....
Total appropriation or estimate.......	25,027	410,800	25,531	420,800	26,153	437,300	622	16,500

Summary Explanation of Changes Requested for Fiscal Year 1991

		AMOUNT BY ACTIVITY				
	Total	*No. 1*	*No. 2*	*No. 3*	*No. 4*	*No. 5*
1. Adjustments to base built-in changes:						
a. Annualization costs:						
(1) Retirement of members during 1990 (573 average)......	7,895	6,795	....	1,100	....	....
(2) Annualization of saving due to attritions from the rolls during 1990 (251 average)...............................	(4,177)	(4,003)	(24)	(150)	....	....
b. Cost-of-living increase payable effective January 1, 1990 (4.7%)...	4,388	4,183	10	195	....	....
c. Survivor benefit program..	2,162	....	....	....	2,162	....
2. Program changes:						
a. Retirement of members during 1991 (548 average)............	6,764	5,745	....	1,019	....	....
b. Savings due to attritions from the rolls during 1991 (248 average)...	(4,107)	(3,945)	(35)	(127)	....	....
c. Cost-of-living increase payable effective January 1, 1991 (0.0%)...	....	....	....	....	....	....
d. Medical care, retirees and dependents............................	3,575					3,575
TOTAL CHANGE: 1991 OVER 1990 APPROPRIATION..................	16,500	8,775	(49)	2,037	2,162	3,575

COAST GUARD
Justification
Retired Pay: 69-0241-0-1-403

This appropriation provides for retired pay of military personnel of the Coast Guard and Coast Guard Reserve, members of the former Lighthouse Service, and for payments to their survivors pursuant to the Retired Serviceman's Family Protection Plan (10 U.S.C. 1431-1446), and the Survivor Benefit Plan (10 U.S.C. 1447-1455). In addition, these estimates provide for cost-of-living increases anticipated to be authorized under 10 U.S.C. 1401a. This appropriation also provides funding for medical and dental care of retired military personnel and their dependents as authorized by law under the Dependents Medical Care Act (10 U.S.C., Ch. 55).

Members are added to the rolls each month as they are voluntarily or involuntarily retired. Members are removed from the rolls during the year normally due to the death of that member. Nonetheless, the normal pattern results in a gradual increase in the retired rolls throughout the years.

The average numbers on the retired rolls are projected to increase by a net of 622 as a result of the part-year effect of 1991 retirements and attritions, and the annualization of 1990 retirements and attritions.

The following are the estimated changes to the retirement rolls for the end of fiscal years 1989 through 1991:

Change in Numbers on the Retired Rolls

	1989 actual	1990 estimate	1991 estimate
On rolls, beginning of year	25,023	25,513	26,094
Additions:			
Regular military personnel:			
Commissioned officers.....	164	228	230
Warrant officers..........	137	187	203
Enlisted personnel........	535	565	575
Reserve personnel..........	151	192	178
Subtotal	987	1,172	1,186
Reductions:			
Attritions.................	-497	-591	-600
On rolls, End of Year.......	25,513	26,094	26,680

COAST GUARD
Justification
Retired Pay: 69-0241-0-1-403

Explanation of Changes Requested for Fiscal Year 1991

The increases requested are based on the annualization of FY 1990 adjustments and anticipated changes in FY 1991.

FY 1991 Appropriation

	($000)	Average Personnel
Retired Pay....................	$385,050	25,531
Health Care....................	35,750	N/A
Total Appropriation, FY 1990..	420,800	25,531

1. The following are adjustments to the FY 1990 Appropriation Base:

	($000)	Average Personnel
a. Annualized costs:		
(1) Retirements................	7,895	573
(2) Attritions.................	-4,177	-251
(3) Cost of living adjustment FY 1990 COLA (4.7%)........	4,388	N/A
b. Survivor benefit program:		
(1) Projected increase in Survivor Benefit payments..	2,162	N/A
Subtotal, FY 1990 Adjustment	10,268	322

2. The following are the adjustments to the FY 1991 Budget Request based on the new program adjustments that will begin in FY 1991:

	($000)	Average Personnel
a. Retirements....................	6,764	548
b. Attritions.....................	-4,107	-248
c. Cost of living adjustment effective Jan. 1 1991 (0.0%)...	......	N/A
d. Medical benefits...............	3,575	N/A
Subtotal, FY 1991 Adjustment...	6,232	300
Total FY 1991 Request..........	437,300	26,153

RESERVE TRAINING

For all necessary expenses for the Coast Guard Reserve, as authorized by law; maintenance and operation of facilities; and supplies, equipment, and services; [$72,800,000] *$78,932,000. (Department of Transportation and Related Agencies Appropriations Act, 1990.*

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING

Program and Financing (in thousands of dollars)

Identification code: *69-0242-0-1-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Program by activities:			
Direct program:			
00.01 Initial training	3,940	3,012	4,288
00.02 Continuing training	39,030	44,237	48,348
00.03 Operation and maintenance of training facilities	10,150	10,425	11,016
00.04 Administration	13,740	13,940	15,280
00.91 Total direct program	66,860	71,614	78,932
01.01 Reimbursable program	5	80	80
10.00 Total obligations	66,865	71,694	79,012
Financing:			
11.00 Offsetting collections from: Federal funds	-5	-80	-80
21.40 Unobligated balance avalable, start of year	-74	-69	....
24.40 Unobligated balance avalable, end of year	69	....	....
25.00 Unobligated balance lapsing	145	69	....
39.00 **Budget Authority**	67,000	71,614	78,932
Budget Authority:			
40.00 Appropriation	67,000	72,800	78,932
40.00 Reduction pursuant to P.L. 101-164	....	-218	....
40.00 Reduction pursuant to P.L. 99-177	....	-968	....
43.00 **Appropriation (adjusted)**	67,000	71,614	78,932

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING

Program and Financing (in thousands of dollars), p.2

Identification code: *69-0242-0-1-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Relation of obligations to outlays:			
71.00 Obligations incurred net	66,860	71,614	78,932
72.40 Obligated balance, start of year	6,454	6,140	7,266
74.40 Obligated balance, end of year	–6,140	–7,266	–8,367
77.00 Adjustments in expired accounts	–773	....	....
90.00 Outlays	66,401	70,488	77,831

COAST GUARD -- Reserve Training

PROGRAM AND PERFORMANCE

The Coast Guard Reserve provides qualified individuals and trained units for active duty in event of conflict, national emergency, or natural and man-made disasters. The Reservists maintain their readiness through realistic coordinated mobilization exercises, formal military training and duty along side regular Coast Guard during routine and emergency operations. The 1990 Selected Reserve program level will be expanded from a funded strength of 12,050 to 12,700 in FY 1991.

DAYS OF TRAINING

	1989 actual	1990 estimate	1991 estimate
Initial training:			
Initial active duty for training..	83,579	85,800	118,000
Continuing training:			
Selected Reserve (with pay):			
Active duty training............	149,321	150,000	157,500
Drill training..................	261,673	262,900	276,000
Other Ready Reserve (without pay):			
Active duty for training........	986	800	800
Drill training..................	5,812	7,500	7,500

COAST GUARD -- Reserve Training

PROGRAM AND PERFORMANCE, p. 2

The table below shows the personnel strength in the various Reserve categories at the end of 1989, 1990, and 1991.

PERSONNEL IN THE COAST GUARD RESERVE [1]

	1989 actual	1990 estimate	1991 estimate
1. Ready Reserve:			
a. Selected			
(1) Initial training [2].....	1,162	1,200	1,300
(2) Continuing training: Drill pay strength......	10,880	10,900	11,400
Subtotal, Selected Reserve.	12,042	12,100	12,700
b. Individual Ready Reserve...	5,199	5,500	7,500
Subtotal, Ready Reserve....	17,241	17,600	20,200
2. Standby Reserve:			
a. Active status..............	2	5	5
b. Inactive status............	560	545	545
Subtotal, Standby Reserve..	562	550	550
Total [1]......................	17,803	18,150	20,750

[1] Excludes Reserve personnel on extended active duty and in the Retired Reserve.

[2] Includes personnel in the second period of the split initial training program.

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DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING

Object Classification (in thousands of dollars)

Identification code: *69-0242-0-1-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Direct Obligations:			
	Personnel Compensation:			
11.1	Full-time permanent	1,676	1,800	1,730
11.3	Other than full-time permanent	....	10	10
11.5	Other personnel compensation	77	80	80
11.7	Military personnel	49,190	51,000	55,795
11.9	Total personnel compensation	50,943	52,890	57,615
12.1	Civilian personnel benefits	355	360	370
12.2	Military personnel benefits	2,615	4,900	5,200
21.0	Travel and transportation of persons	3,902	4,000	4,480
22.0	Transportation of things	574	580	600
23.1	Rental payments to GSA	630	650	680
23.3	Communications, utilities, and miscellaneous charges	370	390	410
24.0	Printing and reproduction	76	80	90
25.0	Other services	2,517	2,600	3,075
26.0	Supplies and materials	4,146	4,300	4,977
31.0	Equipment	732	844	1,415
42.0	Insurance claims and indemnities	....	20	20
99.0	Subtotal, direct obligations	66,860	71,614	78,932
99.0	Reimbursable obligations	5	80	80
99.9	Total obligations	66,865	71,694	79,012

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESERVE TRAINING
Personnel Summary

Identification code: *69-0242-0-1-403*	*1989 actual*	*1990 estimate*	*1991 estimate*
Military:			
Total number of full-time permanent positions	599	599	599
Total compensable workyears: Full-time equivalent employment	599	599	599
Civilian:			
Total number of full-time permanent positions	112	112	112
Total compensable workyears: Full-time equivalent employment	106	106	106
Full-time equivalent of overtime and holiday hours	1	1	2

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Digest of Budget Estimates by Activities for Fiscal Year 1990
(in thousands of dollars)

Appropriation: Reserve Training

	1989 Actual		1990 Estimate		1991 Estimate		Increase or Decrease (-) for 1991	
	Full-Time Perm Pos.	Amount	Full-Time Perm Pos.	Amount	Full-Time Perm Pos.	Amount	Full-Time Perm Pos.	Amount
Program by Activities:								
1. Initial training........................	...	3,940	...	3,012	...	4,288	...	1,276
2. Continuing Training.....................	...	39,030	...	44,237	...	48,348	...	4,111
3. Operation and maintenance of training facilities................	267	10,150	267	10,425	267	11,016	0	591
4. Administration..........................	444	13,740	444	13,940	444	15,280	0	1,340
Total direct costs......................	...	66,860	...	71,614	...	78,932	...	7,318
Unobligated balance available, start of year...........................	...	-74	...	-69	...	0	...	0
Unobligated balance available, end of year.............................	...	69	...	...	...	0	...	0
Unobligated balance lapsing............	...	145	...	69	...	0	...	0
Total appropriation or estimate............	711	67,000	711	71,614	711	78,932	...	7,318
(Military).............................	(599)	...	(599)	...	(599)	...	...	...
(Civilian).............................	(112)	...	(112)	...	(112)	...	...	...

Summary Explanation of Changes Requested for Fiscal Year 1991

	Position			Amount by Activity ($000)				
	Mili-tary	Civ-ilian	Total	Total	Initial Training	Continuing Training	O&M for Training Facilities	Adminis-tration
1. Annualization, Price Level, and Other Increases:								
a. Cost of Continuing FY 1990 Program in FY 1991	0	0	0	420	20	250	80	70
b. Annualization FY 1990 Pay Raise......	0	0	0	2,020	80	1,320	220	400
c. Fy 1991 Pay Raise for Military and Civilian Personnel.................	0	0	0	932	51	571	130	180
2. Recommended Program Increases:								
a. Increase Selected Reserve Force......	0	0	0	3,946	1,125	1,970	161	690
Total Increase for 1991 over 1990	0	0	0	7,318	1,276	4,111	591	1,340

U. S. COAST GUARD

Justification
Reserve Training: 69-0242-0-1-403

1.	Annualization, Price Level, and Other Adjustments: Summary for this Budget Category	$3,372,000
a.	Cost of Continuing FY 1990 Programs in FY 1991	$420,000

A government-wide inflation rate of 3.3 percent has been applied to the non-pay portion of this appropriation to provide the funds needed to continue both training and support at FY 1990 program levels in FY 1991.

b.	Annualization of the FY 1990 Pay Raise and Restoration of Training and Support funds	$2,020,000
	Annualization of the FY 1990 Pay Raise	$670,000

This request provides recurring funding to annualize the cost of the 3.6 percent increase in pay and other entitlements for military and civilian personnel that became effective January 1, 1990. During FY 1990, funding was required for the three quarters of the year the pay raise was in effect. This request will fund the fourth quarter required in FY 1991.

Restoration of Training and Support Funds	$1,350,000

A 3.6% increase in pay and other entitlements became effective on January 1, 1990, for military and civilian personnel. The Reserve Training program was required to absorb two-thirds of the pay raise in FY 1990. In order to fund this entitlement within available resources, it was necessary to divert resources from training and support areas on a one-time basis. This request will permit, in FY 1991, the restoration of a complete training program and support for 12,050 Selected Reservists, and avoid further decline in the operational readiness of the Selected Reserve.

c.	FY 1991 Pay Raise for Military and Civilian Personnel	$932,000

This request provides funding to support the anticipated 3.5 percent military and civilian pay raise that is projected for January 1, 1991. This request assumes that 50 percent of the anticipated pay raise will be absorbed.

2. Recommended Program Increases:
Summary for this Budget Category.............................. $3,946,000

a. Increase Selected Reserve
Force $3,946,000

A Selected Reserve personnel strength increase is required for the Coast Guard Reserve to meet its national security responsibilities at a meaningful level, and to realize its full potential in supporting the active service in responding to natural and man-made disasters, other statutory missions and military contingencies. This request will allow the Coast Guard to continue systematically reducing its mobilization manpower shortfall and will provide for an increased support infrastructure. This will fund an addition of 650 Selected Reservists, increasing the recurring funded strength from 12,050 to 12,700.

RESEARCH, DEVELOPMENT, TEST, AND EVALUATION

For necessary expenses, not otherwise provided for, for applied scientific research, development, test, and evaluation; maintenance, rehabilitation, lease and operation of facilities and equipment, as authorized by law, [$20,800,000] *$23,000,000,* to remain available until expended: *Provided,* That there may be credited to this appropriation funds received from State and local governments, other public authorities, private sources, and foreign countries, for expenses incurred for research, development, testing, and evaluation. *(Department of Transportation and Related Agencies Appropriations Act, 1990.*

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST AND EVALUATION

Program and Financing (in thousands of dollars)

Identification code: *69-0243-0-1-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Program by activities:			
Direct program:			
00.01 Search and rescue	3,595	3,970	4,350
00.02 Aids to navigation	4,320	3,940	4,315
00.03 Marine safety	2,096	2,015	2,206
00.04 Marine environmental protection	1,466	5,061	5,543
00.05 Enforcement of laws and treaties	4,427	4,307	4,717
00.06 Ice operations	739	483	529
00.07 Defense readiness	1,287	1,224	1,340
00.91 Total direct program	17,930	21,000	23,000
01.01 Reimbursable program	703	650	1,000
10.00 Total obligations	18,633	21,650	24,000
Financing:			
11.00 Offsetting collections from: Federal funds	-703	-650	-1,000
21.40 Unobligated balance available, start of year	-966	-1,836	-1,301
24.40 Unobligated balance available, end of year	1,836	1,301	1,301
39.00 **Budget authority**	18,800	20,465	23,000

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST AND EVALUATION

Program and Financing (in thousands of dollars), p.2

Identification code: *69-0243-0-1-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Budget Authority:			
40.00	Budget Authority	18,800	20,800	23,000
40.00	Reduction pursuant to P.L. 101-164	....	-62	....
40.00	Reduction pursuant to P.L. 99-177	....	-273	....
43.00	Appropriation (adjusted)	18,800	20,465	23,000
	Relation of obligations to outlays:			
71.00	Obligations incurred, net	17,930	21,000	23,000
72.40	Obligated balance, start of year	14,089	13,933	17,632
74.40	Obligated balance, end of year	-13,933	-17,632	-18,632
90.00	Outlays	18,086	17,301	22,000

RD
COAST GUARD--Research, Development, Test, and Evaluation

PROGRAM AND PERFORMANCE

The Coast Guard's Research and Development (R&D) program seeks to maintain the technological base in areas crucial to the successful execution of the Coast Guard's operational and regulatory missions. The R&D program includes the development of techniques, methods, hardware, and systems which directly contribute to increasing the productivity and effectiveness of operating forces. Tests and evaluations are carried out in conjunction with research and development. The FY 1991 request will provide for increases in support of Coast Guard's overall mission.

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST AND EVALUATION

Object Classification (in thousands of dollars)

Identification code: *69-0243-0-1-403*		*1989 actual*	*1990 estimate*	*1991 estimate*
	Direct Obligations:			
	Personnel Compensation:			
11.1	Full-time permanent	2,529	2,655	2,837
11.3	Other than full-time permanent	144	150	160
11.5	Other personnel compensation	91	100	108
11.7	Military personnel	1,625	1,978	2,138
11.9	Total personnel compensation	4,389	4,883	5,243
12.1	Civilian personnel benefits	414	435	465
12.2	Military personnel benefits	141	178	187
21.0	Travel and transportation of persons	411	467	524
22.0	Transportation of things	76	86	97
23.1	Rental payments to GSA	444	460	518
23.3	Communications, utilities, and miscellaneous charges	190	217	230
24.0	Printing and reproduction	10	25	28
25.0	Other services	7,941	10,204	11,478
26.0	Supplies and materials	2,251	2,190	2,285
31.0	Equipment	1,663	1,855	1,945
99.0	Subtotal, direct obligations	17,930	21,000	23,000
99.0	Reimbursable obligations	703	650	1,000
99.9	Total obligations	18,633	21,650	24,000

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
RESEARCH, DEVELOPMENT, TEST AND EVALUATION
Personnel Summary

Identification code: *69-0243-0-1-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Military:			
Total number of full-time permanent positions	42	42	48
Total compensable workyears: Full-time equivalent employment	42	42	48
Civilian:			
Total number of full-time permanent positions	71	71	78
Total compensable workyears: Full-time equivalent employment	65	70	76
Full-time equivalent of overtime and holiday hours	2	1	1

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Digest of Budget Activities for Fiscal Year 1991
(Dollars in thousands)

Appropriation: Research, Development, Test, and Evaluation

	1989 Actual		1990 Estimate		1991 Estimate	
	Full-time perm. pos.	Amount 1/	Full-time perm. pos.	Amount 1/	Full-time perm. pos.	Amount 1/
Program by activities:						
1. Search and rescue..........		3,948		3,822		5,890
2. Aids to navigation..........		4,160		3,100		5,200
3. Marine safety...............		2,110		1,500		1,907
4. Marine environmental protection.................		1,480		4,300		2,200
5. Enforcement of laws and treaties..................		4,493		6,040		5,900
6. Ice operations..............		572		503		644
7. Defense readiness...........		2,037		1,200		1,259
Total appropriation or estimate................	113	18,800	113	20,465	126	23,000
(Military)..........	(42)	...	(42)	...	(48)	...
(Civilian)............	(71)	...	(71)	...	(78)	...

1/ Amounts shown represent a programmatic distribution of funds appropriated for each year. Therefore, they may not correspond to the amounts on lines 00.01-00.07 of the Program and Financing schedule, which consist of direct obligations of both prior year and current year appropriated funds.

Summary Explanation of Changes Requested for Fiscal Year 1991

Program Changes:

Requirements for this appropriation are determined by the cost of specific projects described in detail on the project sheets. The projects are as follows:

DEPARTMENT OF TRANSPORTATION
COAST GUARD
Research, Development, Test & Evaluation: 69-0243-0-1-403
(Dollars in thousands)

	Program Title	PAGE NUMBER	TOTAL REQUEST
A.	Search and Rescue (SAR) - Improved Performance:		2,400
	1. Comprehensive SAR Capabilities Improvements	152	(1,800)
	2. SAR Satellite Aided Tracking System Refinements	153	(600)
B.	Aids to Navigation:		2,180
	1. Advanced Global Positioning System (GPS) Development	154	(800)
	2. Waterway Design and Electronic Chart Display Information Systems	155	(600)
	3. New Buoy Systems	156	(600)
	4. Short Range ATON Signal Effectiveness	157	(180)
C.	Marine Safety:		735
	1. Marine Fire and Safety Research Program	158	(485)
	2. Support for ship structure committee	159	(250)
D.	Marine Environmental Response (Systems):		750
	1. Chemical technology for Coast Guard programs	160	(750)
E.	Enforcement of Laws and Treaties:		1,460
	1. Enforcement systems	161	(1,460)
F.	Multi-Mission:		
	1. C3/Information Resource Management	162	2,365
	2. Advanced Communication Technologies	163	400
	3. Increase Human Resource Management Effectiveness	164	750
	4. Operations Research/Engineering Analysis	165	1,000
	5. Engineering Support	166	600
	6. USCGC Fire Safety Engineering Methodology and Testing	167	160
	7. Ports and Waterways Management Information System	168	600
	8. Select Project Research and Development	169	1,800
	9. RDT&E Program Support and Operations	170	1,500
	10. Personnel and Related Costs	171	6,300
	TOTAL FY 1991 RDT&E REQUEST		23,000

NOTE: Amounts shown on the following pages for FY 1990 (under Appropriation History) reflect neither the 0.3% Byrd Amendment (P.L. 101-164) reduction nor the Gramm-Rudman reduction pursuant to P.L. 99-177.

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1991	SEARCH AND RESCUE	$1,800,000

PROGRAM

COMPREHENSIVE SEARCH AND RESCUE CAPABILITIES IMPROVEMENTS (COMPSAR)

PROBLEM: SAR operations are complex and capital intensive. Wind and current data are poorly dimensioned for drift predictions. The effects that wind and current have on search objects are poorly understood. Poor environmental data and inadequate search planning models reduce the likelihood that the search object will be in the predicted search area. Technological advances have promise of improving SAR mission performance but require adequate evaluation to determine their effectiveness and optimum method of employment.

OBJECTIVE: Increase the probability of success in conducting Search and Rescue missions.

APPROACH: An FY1990 Select Project Proposal (SPP) will analyze the Coast Guard Search and Rescue mission from case inception through case closing. The Comprehensive Search and Rescue Capabilities Improvements (COMPSAR) Project (the deliverable from the SPP) will consist of five elements as follow: SAR Incident Alerting covers information gathering, display, utilization and case documentation; SAR Planning focuses on environmental data and search planning models and tools (e.g. Computer Assisted Search Planning (CASP)); Search Execution develops/evaluates sweep widths, tactics and equipment used during a search; Rescue Execution identifies/evaluates equipment and techniques used for rescue/recovery; Post Mission Analysis provides a proactive feedback system for further improvements. Tasking started under the SAR/Probability of Detection (POD) project and identified as pivotal to the Program Manager will be continued; i.e., sweep widths for electronic and electro-optical equipment, current drift from satellite imagery, validation of CASP program, and development of a LORAN-C Datum Marker Buoy (DMB).

BENEFITS: Improve effectiveness of SAR operations. Assuming a 1% increase in efficiency of SAR operations yields, on an average, the following annual benefits:

a. Additional lives saved - 16 lives (based on lives previously lost)
b. Additional property loss prevented - $4.6M (based on property previously lost)
c. Time on sorties saved - 2,747 hours

Increased efficiency will reduce resource usage per case, and thus provide additional resource hours for other missions without having to increase total resource numbers.

ACCOMPLISHMENTS

FY1989 & PRIOR: Developed verified sweep width tables for visual and electronic sensors for a major revision to National SAR Manual, and presentation of sweep width tables for merchant ships to International Maritime Organization . Evaluated visual signalling devices and published results. Developed lightweight datum marker buoy for small boats.

PLANNED FY1990: Conduct additional POD tests of night vision goggles. Develop, test and evaluate air-deployable LORAN-C datum marker buoy. Develop/evaluate method of using satellite imagery to forecast surface current drift in SAR planning.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
SAR - SEARCH AND RESCUE PROBABILITY OF DETECTION IMPROVEMENTS.....	1988	300
SAR - SEARCH AND RESCUE PROBABILITY OF DETECTION IMPROVEMENTS.....	1989	400
SAR - SEARCH AND RESCUE PROBABILITY OF DETECTION IMPROVEMENTS.....	1990	450

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	COMPSAR - Complete mission analysis and commence work on identified high yield, critical areas. Continue SAR/POD project tasks previously identified as pivotal; i.e., sweep widths for electronic and electro-optical equipment, current drift from satellite imagery, validation of CASP program, and development of a LORAN-C DMB..	1,800

DEPT. OF TRANSP., USCG, CGHQ-4838 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1991	SEARCH AND RESCUE	$600,000

PROGRAM

SEARCH AND RESCUE SATELLITE AIDED TRACKING (SARSAT) SYSTEM REFINEMENTS

PROBLEM: The international Search and Rescue Satellite Aided Tracking (SARSAT) System continues to experience a high false alarm rate, slow ground communications, and ambiguity in resolution of the initial position. Interference on 121.5 MHz remains high, blocking distress beacon transmissions. All problems identified in the 1987 World Wide 406 MHz System Exercise have yet to be resolved. Lack of instantaneous alerting remains a weak area in the system.

OBJECTIVE: Correct demonstrated problems with the SARSAT system.

APPROACH: Demonstration and Evaluation (D&E) has proven that the SARSAT System has the potential to become an extremely useful Search and Rescue tool. However, since completion of the D&E in 1985, a period of 5 to 7 years is needed to transition the experimental system into an operational one. The National Aeronautics and Space Administration (NASA) will act as the R&D focal point for the U.S. SARSAT System. U.S. Coast Guard (USCG) R&D funding will be sent to NASA to fulfill the USCG's obligatory contribution to the refinement effort as delineated by the SARSAT Program Plan. The funds will be applied to (1) manage configuration control of ground systems, (2) test and evaluate performance of "off-the-shelf" distress beacons to determine reliability, failure modes, and appropriate corrective actions, (3) identify non-coherent beacons, (4) enhance local user terminals (LUTs), (5) develop an enhanced operational ground/communications system, (6) develop interface with U.S. Mission Control Center (USMCC) and USCG Operations Centers, (7) develop methods to handle unresolved alerts, (8) exercise and evaluate the global 406 MHz system, (9) evaluate changes to LUT and USMCC software, (10) develop performance criteria for U.S. LUTs, (11) test and evaluate performance of new USMCC, (12) conduct a cost versus SAR benefit study to determine further development, and (13) study dedicated satellite design, data distribution network, and response time improvement.

BENEFITS: Reduction in false alarms and faster ground communications will result in a 4-to-7 hour reduction in planing time, with an equivalent reduction in SAR unit response time. This reduction will increase the probability of survival of people in 66 degree water by as much as 50% by reducing their exposure time.

ACCOMPLISHMENTS

FY1989 & PRIOR: Demonstrated and evaluated (as a joint project with U.S. Air Force, National Oceanic and Atmospheric Administration and NASA) the usefulness of a satellite system capable of detecting and locating Emergency Locator Transmitters (ELTs) and Emergency Position Indicating Radio Beacons (EPIRBs).

PLANNED FY1990: Inaugurate new SARSAT U.S. Mission Control Center (USMCC) at NOAA facility. Identify non-coherent beacons and work with manufacturers, public and other government agencies to end use of these beacons. Test and evaluate performance of new USMCC. Conduct a SAR cost benefit study to determine further development.

APPROPRIATION HISTORY

	APPROPRIATION	
PROGRAM	YEAR	AMOUNT ($000)
SAR - SARSAT...	1988	300
SAR - SARSAT...	1989	300
SAR - SARSAT...	1990	300

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	SARSAT - Continue to reduce false alerts, improve beacon recognition and reception and shorten the time from beacon activation to receipt of the alert message at the rescue coordination center...............	600

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA AIDS TO NAVIGATION	AMOUNT REQUESTED $800,000

PROGRAM

ADVANCED GLOBAL POSITIONING SYSTEM (GPS) DEVELOPMENT

PROBLEM: Collision, ramming and grounding (CRG) of commercial vessels occur frequently, resulting in loss of life and property and environmental damage. Increasing waterway congestion and risk of CRGs by larger vessels require a better navigation system to aid human judgment. The Global Positioning System (GPS), when operational in 1991, will provide only 100-meter accuracy to the commercial vessel users. A more accurate system is needed for harbor navigation.

OBJECTIVES: Improve navigation safety and efficiency using GPS and Differential GPS (DGPS). Develop a DGPS radio navigation system that meets a 10-meter accuracy 95% of the time. Support Coast Guard's new role as the lead "civil user interface" for GPS. Assess the applicability and utility of using DGPS in execution of Coast Guard missions, such as waterways management and vessel traffic services.

APPROACH: Develop and install an engineering prototype DGPS system and evaluate its performance. Provide technical guidelines for a DGPS broadcast network covering the coastal U.S. and Puerto Rico. Provide guidelines for the procurement of operational DGPS system. Support development and foster acceptance of commercial interface standards for DGPS receivers and related electronics. Identify Coast Guard DGPS applications and assess mission performance improvement.

BENEFITS: Improves the effectiveness of radionavigation aids. Supports decisions regarding the future mix of radionavigation aids systems through demonstration and documentation of GPS and DGPS accuracies and assessment of their impact on the SRA/RA navigation system operated by the Coast Guard and DoD. Provides information that allows Coast Guard to meet its role as civil user interface for GPS. Provides an important part of the solution to dealing with environmental, law enforcement, coastal defense, vessel traffic services and other areas of rising demand on Coast Guard resources.

ACCOMPLISHMENTS

FY1989 & PRIOR: Investigated LORAN-C ability to provide accuracy in Federal Radionavigation Plan (FRP) for Harbor/Harbor Approach (HHA) navigation, including Differential LORAN-C system (DLCS). Field tested Differential GPS (DGPS) concept. Added DLCS data slot to DGPS broadcast standard. Demonstrated that pilots can negotiate restricted waterways using graphic displays and radionavigation aids in poor visibility as well as when using visual aids in good visibility.

PLANNED FY1990: Complete deployment of DGPS wide-area test bed and verify radio beacon data transmission and coverage predictions. Continue mine countermeasures support with DGPS and DLCS and evaluate.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION	
	YEAR	AMOUNT ($000)
Radio Aids to Navigation	1988	300
Radio Aids to Navigation	1989	500
Radio Aids to Navigation	1990	400

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Begin to install a working engineer prototype of a Differential GPS system including shore-based network, shipboard receiving system, and test equipment necessary for evaluating overall performance; install communication system n FY1992	800

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA AIDS TO NAVIGATION	AMOUNT REQUESTED $600,000
PROGRAM WATERWAY DESIGN AND ELECTRONIC CHART DISPLAY INFORMATION SYSTEMS		

PROBLEM: Electronic Chart Display Information Systems (ECDIS) offer many potential benefits. The Provisional Performance Standards for ECDIS, prepared by the International Maritime Organization (IMO) lack validation. Radio aids to navigation offer more precise navigation, but their relationship or impact on Short Range Aids (SRA)is not clear.

OBJECTIVES: Develop a system integrating short range aids (SRA), radionavigation aids (RA), and ECDIS.

APPROACH: Examine waterway design, pilot performance, and integrated navigation system (INS) interaction to determine effects on navigation. Make results available for navigation policy development and proper use of INS. Expand the "Waterway Design Manual" to account for ECDIS, radar, radio aid signal accuracy, buoy drift, ship characteristics and other critical parameters. Participate in the validation of the international standard for ECDIS.

BENEFITS: The integrated navigation systems could provide safer navigation and less costly transit delays.

ACCOMPLISHMENTS

FY1989 & PRIOR: Completed initial simulator experiments using radionavigation aids and graphical display and obtained results that promised significant improvements in navigation capabilities, especially in restricted waterways. Completed all planned simulator work on the effects of short range aids on a pilot's ability to navigate.

PLANNED FY1990: In cooperation with International Maritime Organization (IMO), International Hydrographic Organization (IHO), Radio Technical Commission for Maritime Services (RTCM), and Maritime Administration (MARAD), begin evaluation of INS and ECDIS using techniques developed under previously completed Waterways Performance, Design and Evaluation project. Analysis efforts to include human factors considerations and techniques for relative risk assessment.

APPROPRIATION HISTORY

	APPROPRIATION	
PROGRAM	YEAR	AMOUNT ($000)
Waterway Design, Performance, and Evaluation	1988	200

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Continue Simulator Evaluations of Effect on Piloting of RA Systems	300
2.	Evaluate ECDIS/Integrated Navigation Systems	300
	TOTAL	600

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1991	AIDS TO NAVIGATION	$600,000

PROGRAM

NEW BUOY SYSTEMS

PROBLEM: In recent years there have been significant advances in materials, buoy technology and design techniques for buoys. These advances could lead to development of buoy systems that would significantly improve short range aids (SRA) performance and lower costs while improving safety and servicing of buoys. Research and development has not conducted a comprehensive study of floating aids to navigation designs or processes for many years. A comprehensive review of the Coast Guard's (CG) past experience, as well as that of industry and other nations, in efforts to design and produce/procure buoys and related hardware and software employing advanced technology is overdue.

OBJECTIVES: Improve the life-cycle costs, navigational qualities and handling safety of CG buoy systems through a comprehensive review of the latest in materials and other buoy-related technologies, and development of any promising findings for application to CG aids to navigation program. Develop buoy-specific computer tools to improve productivity of buoy-related engineering support.

APPROACH: Capture information from a comprehensive survey of Coast Guard's existing buoys and buoy research, as well as that of other nations, and make data accessable in a machine-readable database that will allow convenient distribution and analysis to produce useful information on buoys. Apply the knowledge gleaned from this survey to development of the most promising areas into systems that can be used to improve Coast Guard's buoy systems.

BENEFITS: Improved aid performance at lower cost, with increased handling safety for Coast Guard's servicing units and personnel.

ACCOMPLISHMENTS

FY1989 & PRIOR: Completed contract to develop statement of work for comprehensive technology survey. Awarded contract for comprehensive buoy technology survey.

PLANNED FY1990: Complete comprehensive buoy technology survey and make database available for use by Coast Guard program and support managers and for information exchange with other nations. Develop buoy-specific computer-aided drafting and design software to provide significantly improved comprehesive tools for buoy engineering support managers.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION	
	YEAR	AMOUNT ($000)
New Buoy Systems	1988	40
New Buoy Systems	1989	400
New Buoy Systems	1990	220

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	New Buoy Systems Development	600

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA AIDS TO NAVIGATION	AMOUNT REQUESTED $180,000

PROGRAM

SHORT RANGE AIDS (SRA) TO NAVIGATION SIGNAL EFFECTIVENESS

PROBLEM: Inadequacies in visual signals in several locations (Delaware Bay, Miami, Tampa Bay, Galveston, Mississippi River, and others) limit their effectiveness. Accidents are attributed to ineffective SRA lighting. Costs of servicing older technology SRA lights and buoys are steadily increasing.

OBJECTIVES: Improve the SRA marking system through development of dayboards with a five-year life, integrated power and light systems, improved buoy designs for simpler maintenance and longer servicing intervals and life.

APPROACH: Examine SRA signal, power, and control systems to improve detectability, reliability, and efficiency. Develop new systems through application of advanced technology, in particular, new liquid electrode lamps, and human factors.

BENEFITS: Marine casualty statistics indicate implementation should save lives. Potential savings from increased transportation efficiencies, avoided port closings and marine pollution incidences are great. A new replacement light system based on the liquid electrode lamp is expected to significantly reduce life-cycle costs for lighted short range aids.

ACCOMPLISHMENTS

FY1989 & PRIOR: Developed prototype liquid electrode lamp. Developed software to assist with SRA design. Developed standards and guidelines related to conspicuity and background lighting, and probability of detection for various types and configurations of aids to navigation. Investigated application of electroluminescent and laser lighting. Updated the atmospheric transmissivity curves and re-evaluated calculations for effective intensity of lights.

PLANNED FY1990: Continue development of liquid electrode lamp into a product that achieves routine operational application throughout the SRA system. Using this lamp as a basis, develop an Advanced Buoy Light Equipment (ABLE) suite to reduce and simplify servicing of buoys and the smaller fixed lights. Develop software to automate the design of SRA hardware systems. Update the "Visual Signalling Manual" that was issued in 1970.

APPROPRIATION HISTORY

	APPROPRIATION	
PROGRAM	YEAR	AMOUNT ($000)
Aids to Navigation Signal Effectiveness	1988	200
Aids to Navigation Signal Effectiveness	1989	195
Aids to Navigation Signal Effectiveness	1990	175

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Visual Signalling Systems	180

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA MARINE SAFETY	AMOUNT REQUESTED $485,000
PROGRAM MARINE FIRE AND SAFETY RESEARCH PROGRAM		

PROBLEM: Fire, explosion, smoke and safety hazards pose a continuing threat to life and property at sea. The effects of new technology and materials on the present level of safety are unknown. Test data are required to support efforts through the International Maritime Organization (IMO), consensus standards organizations, and regulation to ensure the proper level of safety while not unduly hampering the introduction of new technology and materials into the marine industry. The threat to safety is increasing as more passengers enjoy cruise ships and more hazardous materials are transported. The Coast Guard has legislated responsibilities for ensuring safety aboard commercial vessels.

OBJECTIVE: Improve safety of merchant ships and regulated small passenger vessels. Through shipboard applied fire and safety research, provide technical support for regulatory purposes and support of U. S. positions at the International Maritime Organization (IMO).

APPROACH: Conduct an aggressive, comprehensive Marine Fire Research Program to support Coast Guard mission of Marine Inspection, Recreational Boating Safety, and Port and Environmental Safety. Program includes: testing of fire protection and extinguishing equipment, testing of materials for flammability and combustion product toxicity, evaluation of structural fire protection standards, and full-scale tests to study flame and smoke spread phenomena. Project work is done inhouse and is carried out at the Fire and Safety Test Facility in Mobile, Alabama (believed to be the only full-scale fire test facility in the world) and at the Marine Fire Research Laboratory in Groton, CT. Leverage Coast Guard funding by joining with U. S. Navy, Canadian Coast Guard, and other government agencies in supporting testing. Provide full-scale test data to support U. S. positions at IMO.

BENEFITS: Reduced risk of loss of life, and the loss of merchant vessels, cargo and property caused by fire and explosion. 10% improvement based upon FY1980 losses results, on an average, in three lives and $3.2M saved annually. Improved domestic and international regulation thereby better facilitating maritime commerce. Improved stature of the U. S. internationally.

ACCOMPLISHMENTS

FY 1989 & PRIOR: Completed endurance burn tests on pressure vacuum valves and devices to prevent the passage of flames into cargo tanks. Revised IMO spread of flame test method. Prepared numerous IMO position papers. Published report on the quantity of smoke produced by interior bulkhead finishes and secondary deck coverings. Completed testing documenting smoke/gas hazards and smoke control in shipboard spaces. Tested three proposed international fire performance standards for flammability of upholstered furniture, and flame spread of construction materials.

PLANNED FY 1990: Develop automated fire protection data base to simulate fire scenarios. Complete testing of fire resistance of hatch/door gasketing materials. Complete steps in main vertical zones fire propagation behavior tests. Evaluate the heat and smoke production of T-boat furnishings. Evaluate safety and fire protection of diesel engine fuel lines. Evaluate fire control systems for container ships. Begin round-robin tests of the procedure for devices to prevent the passage of flames.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Marine Safety	1988	400
-Marine Safety	1989	430
Marine Safety	1990	150

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENT	AMOUNT ($000)
1.	Validation of IMO Surface Flammability Test and Fire Performance Test for mattressees and bedding	100
2.	Complete international round-robin test of procedure for devices to prevent the passage of flames	75
3.	Fire resistance testing of aluminum decks and aluminum deck supports for small passenger vessels	90
4.	Test prototype Smoke Control/Movement/Extraction System	100
5.	Conduct fire safety tests supporting other IMO initiatives, as identified	120
TOTAL		485

DEPT. OF TRANSP., USCG, CGHQ-4838 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA MARINE SAFETY	AMOUNT REQUESTED $250,000

PROGRAM

SUPPORT FOR THE INTERAGENCY SHIP STRUCTURE COMMITTEE (SSC)

PROBLEM: In support of vessel and offshore structure design review, the Coast Guard requires research on design, fabrication, and quality assurance of vessels and marine structures, and on materials used in their construction.

OBJECTIVES: Gain knowledge of vessel and offshore structure design/construction through continued participation on the multi-agency Ship Structure Committee (SSC). Established in 1946 by the Secretary of the Treasury, the SSC is chartered to conduct an aggressive research program to improve the design, materials, construction and inspection of ships and other marine structures to increase their safety and economy of operation.

APPROACH: Participate in the intergency SSC's research program. SSC is sponsored by the Coast Guard and is composed of representatives from Naval Sea Systems Command, Military Sealift Command, Maritime Administration, Minerals Management Service and American Bureau of Shipping. Projects are prioritized and selected by the SSC from a list developed by the National Academy of Science's Committee on Marine Structures.

BENEFITS: Improved safety of marine vessels and structures. Cost effectiveness by leveraging funding with other agencies' funding. High quality and enhanced acceptance of products due to multi-agency and Committee on Marine Structures review and oversight. Maintenance of Coast Guard position as a world leader in structural research, due in part to the dissemination of SSC reports to designers, builders, researchers, operators, and from SSC-sponsored symposia.

ACCOMPLISHMENTS

FY1989 & PRIOR: Over 30 SSC reports were published in the past 4 years. Completed investigations in the past 2 years included: Performance of Underwater Weldments, Fatigue Prediction Analysis Validation from the SL-7 Hatch-Corner Strain Data, Fatigue Characterization of Fabricated Ship Details, Development of an Onboard Strain Recorder, Ship Fracture Mechanics Investigations, Influence of Prior Damage by Cyclic Loading below the Yield Strength on Ship Steels in the Marine Environment, Strategies for Non-Linear Analysis of Marine Structures, Ice Loads and Ship Response to Ice, Global Ice Loads Measurements, and Corrosion Experience Data Requirements.

PLANNED FY1990: Begin preparation for FY1991 Symposium on "Structural Inspection, Maintenance and Monitoring". Begin Phase II of Probability-Based Design: Loads and Load Combinations, Uncertainty in Strength Models for Marine Structures, and Effect of High Strength Steels on Strength Considerations of Design and Construction Details of Ships. Continue all ongoing projects.

APPROPRIATION HISTORY

	APPROPRIATION	
PROGRAM	YEAR	AMOUNT ($000)
Support for the Interagency Ship Structure Committee.............	1988	200
Support for the Interagency Ship Structure Committee.............	1989	250
Support for the Interagency Ship Structure Committee.............	1990	200

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Conduct symposium on "Structural Inspection, Maintenance and Monitoring". Conduct additional research effort from prioritized list of needs prepared (in the Spring of 1990) by the Committee on Marine Structures, National Research Council..	250

DEPT. OF TRANSP., USCG, CGHQ-4830 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1991	MARINE ENVIRONMENTAL PROTECTION	$750,000

PROGRAM

POLLUTION RESPONSE

PROBLEM: The recent Exxon Valdez oil spill in Prince William Sound has shown that response to major pollution events within the United States is slow and inadequate to meet the situation.

OBJECTIVES: Improve national response capability to oil and hazardous materials discharges; mitigate the effects on the environment of these spills, and improve cleanup capability.

APPROACH: Using the "Exxon Valdez" as a test case, conduct a post-incident analysis to develop a response program to handle major spills. Identify areas within the analysis where present technology can not adequately respond; develop a comprehensive R&D plan to address those needs. Test and evaluate available, promising equipment, both foreign and domestic, for potential future use by or for the Coast Guard in pollution control and cleanup. Provide technical assistance to the program manager in developing requirements documents for equipment development/procurement.

BENEFITS: An effective national pollution response capability will protect personnel and the environment from potentially hazardous situations.

ACCOMPLISHMENTS

FY1989 & PRIOR: Extensive research, tests and evaluations have been carried out covering containment technology (e.g. booms, barriers, damage control); cleanup technology (e.g. skimmers, additives, and sorbents); disposal and interim storage; logistics transportation and planning; sensing, monitoring and identification; fate and effects; and arctic oil spill response. Over 240 reports were published.

PLANNED FY1990: Establish national R&D coordinating council for oil and hazardous materials research and development. Commence post mortem R&D analysis of "Exxon Valdez" incident and an assessment of the latest in pollution control and cleanup equipment, techniques and procedures. Test and evaluate selected pollution cleanup and control equipment. Develop comprehensive R&D plan to systematically develop equipment to cover contingencies presently beyond the state-of-the-art.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION	
	YEAR	AMOUNT ($000)
MARINE ENVIRONMENTAL RESPONSE	1988	150
MARINE ENVIRONMENTAL RESPONSE	1989	150
MARINE ENVIRONMENTAL RESPONSE	1990	150

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Pollution Response - Complete R&D analysis of "Exxon Valdez" incident and state-of-the-art survey. Start development of needed technologies identified by the incident analysis that will produce high return	750

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1991	ENFORCEMENT OF LAWS AND TREATIES	$1,460,000

PROGRAM

ENFORCEMENT SYSTEMS

PROBLEM: The Coast Guard's federally mandated law enforcement mission has expanded dramatically over the past two decades. Concealment of contraband and development of tactics to evade interdiction have proliferated among the illegal drug and alien traffickers and foreign fishing fleets. There is no comprehensive development program designed to address this expanding mission area.

OBJECTIVES: Improve the detection, surveillance, interdiction, inspection, and apprehension of vehicles/personnel involved in illegal alien, drug and fisheries activities.

APPROACH: This program area is covered by one project: Comprehensive Law Enforcement Capabilities Improvements. Working in concert with other law enforcement agencies and DoD, this project is focusing primarily on areas of detection, surveillance, interdiction, inspection, and apprehension on and over the maritime region of the United States. This project will develop/evaluate equipment to increase detection and surveillance capabilities and to aid boarding teams to detect contraband or provide "probable cause". Emphasis will be on adapting existing/applying emerging technology to the problems. Examples of areas of initial investigation include: electronic and electro-optic devices, acoustic devices, unmanned vehicle systems, and advances in drug detection technology.

BENEFITS: Each element is designed to increase the Coast Guard's ability to perform its law enforcement mission. New and improved sensors providing increased detection, long range classification and identification, and rapid detection of hidden contraband will provide increased detection and boarding capabilities without increasing the number of Coast Guard assets required. Multi-agency coordination may also be enlarged through cooperative system development and use.

ACCOMPLISHMENTS

FY1989 & PRIOR: Developed boarding inspection kit. Tested aerostat radar. Evaluated low-cost, off-the-shelf forward looking infra-red radar (FLIR) systems for shipboard surveillance tasks. Survey of near-term surveillance improvements.

PLANNED FY1990: Conduct evaluation of vapor detection equipment in the maritime environment and, if proven practical, develop portable version for use by boarding parties. Begin the comprehensive law enforcement needs and technology opportunities project. Fabricate (from existing hardware) and evaluate an interim electronic/electro-optic (E/EO) sensor suite. Develop requirements documentation for E/EO system. Conduct feasibility studies of suitable non-destructive cocaine/heroin detection equipment, and passive surveillance systems proposed through the Small Business Innovative Research (SBIR) program.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
ENFORCEMENT OF LAWS AND TREATIES	1988	1,200
ENFORCEMENT OF LAWS AND TREATIES	1989	720
ENFORCEMENT OF LAWS AND TREATIES	1990	1,700

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Comprehensive Law Enforcement Capabilities Improvements - Develop prototype E/EO sensor suite for shipboard use. Evaluate unmanned vehicle systems for law enforcement use. Complete drug detection system development, subject to favorable conclusion of feasibility study. Phase II - prototype development of SBIR topics	1,460

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $2,365,000

PROGRAM

COMMAND, CONTROL, AND COMMUNICATIONS (C3)/INFORMATION RESOURCES MANAGEMENT

PROBLEM: Coast Guard decision makers at all levels of command require timely, accurate information. Present operational and support systems are incomplete, out-of-date, and often redundant. These problems are obstacles to effective and efficient decision making in a changing environment. The managers of our information system require accurate descriptions of the mission needs to manage our information resources. Rapidly advancing technologies have out-distanced existing systems/techniques.

OBJECTIVES: To provide information systems designed to fulfill multi-mission operational needs while supporting functional needs. Develop and test prototypes. Reduce manual processing of information while increasing accuracy, availability and timeliness of information to decision makers.

APPROACH: For each specific application, examine and define the problem, identify and analyze the information requirements, prepare alternative system designs taking into account improving existing manual and automated systems, prepare functional design specification of selected system, and fully justify the chosen information system. Develop and demonstrate prototypes to evaluate concepts. Assess new information technologies for application to CG needs.

BENEFITS: Potential for enhanced productivity. User data handling workload will be reduced. Data sharing will eliminate duplicated data. Data will be transmitted and processed faster and more completely, with fewer errors. Data will be gathered and entered once. Some data gathering will be automated. Decision makers will receive more comprehensive and accurate information sooner.

ACCOMPLISHMENTS

FY 1989 & PRIOR: Identified/defined generic information requirements for 13 operational Coast Guard missions. Completed test/evaluation of Operational C2 Test Bed at Group Hampton Roads. Analyzed information needs of Coast Guard Major Systems Acquisition and Personnel Programs. Completed Readiness and Reserve Information Strategic Plan. Defined Readiness and Reserve Unit Administration Prototype. Designed/developed second generation Personnel Source Data Acquisition (SDA) System.

PLANNED FY 1990: Begin assessment of applicable new technologies. Complete personnel data model and design second generation pay and personnel system (PMIS/JUMPS). Complete Operations Information System (OIS) Strategic Plan and develop OIS prototype for SAR/ELT missions. Complete development of Search and Rescue Management Information System (SARMIS) design for District and Headquarters. Define problems, analyze information requirements for a second generation Law Enforcement Information System (LEIS)/Summary Enforcement Event Reporting (SEER) System.

APPROPRIATION HISTORY

	APPROPRIATION	
PROGRAM	YEAR	AMOUNT ($000)
Command and Control System Development..........................	1988	1,400
Command and Control System Development..........................	1989	2,180
Command and Control System Development..........................	1990	1,950

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
I.	Continue to assess/survey information technologies for specific applications. Test SARMIS and Operational SAR/ELT Prototype. Continue design of second generation PMIS/JUMPS, and LEIS/SEER, and MSIS seaman documentation and licensing system. Begin MIS system development for health services program..................................	2,365

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $400,000

PROGRAM

ADVANCED COMMUNICATION TECHNOLOGIES

PROBLEM: Execution of all the Coast Guard's (CG) missions depends on timely information. The increasing challenges to accomplishing these missions require the use of the best communications technology affordable. Many Coast Guard communication systems are subject to exploitation by unfriendly elements, are labor intensive, cannot handle a sufficient number of users, or have insufficient capacity to support remote sensing applications at high data rates.

OBJECTIVES: Develop a program that provides periodic alternatives to enhance the communication systems that support the command, control and information resource management (C3/IRM) infrastructure of the Coast Guard. Execute this program so that it strives to balance improvements in performance of public service and military readiness missions in a complementary fashion. Provide a fully integrated communications system that is robust, having no single points of failure, and that allows Coast Guard to track and manage all assets and pass information between those assets without fear of compromise.

APPROACH: Through cooperation with other government agencies and active participation in government consortiums, develop communication capabilities to support law enforcement and military readiness activities, and all other missions. Investigate satellite communication systems for secure data and voice communications. At this time Geostar, the American Mobile Satellite Consortium (AMSC), cellular phone and radio, and Survivable Adaptable Fiber Optic Network (local area network for DoD interoperability) are active areas of research.

BENEFITS: The Coast Guard communications infrastructure will be able to effectively deal with ever increasing demands. This will allow Coast Guard to better execute missions in a timely and cost effective manner, respond to the unexpected crisis more quickly, and better accommodate tightening budget constraints.

ACCOMPLISHMENTS

FY1989 & PRIOR: Initiated participation in both NASA's MSAT-X (now the AMSC) and the U.S. Customs organized STAR consortium for the development of Geostar-based hand-held, low probability of intercept, secure miniaturized (HALOPRISM) satellite data communications terminal. Awarded contract via STAR consortium for development of the HALOPRISM terminal. Began testing of commercial Geostar terminals for Coast Guard applications where security is not a critical factor.

PLANNED FY1990: Complete consortium's development of HALOPRISM terminal prototypes and begin testing of that terminal to assure it meets Coast Guard requirements. Establish an advisory group of operating and support personnel to assure proper introduction of Geostar's Radio Determination Satellite Service (RDSS) technology into the Coast Guard. Investigate the potential application of RDSS technology to logistics and engineering support missions as well as traditional command and control tasks.

APPROPRIATION HISTORY

	APPROPRIATION	
PROGRAM	YEAR	AMOUNT ($000)
Advanced Communication Technologies................................	1989	420
Advanced Communication Technologies................................	1990	400

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Test and Evaluate HALOPRISM and other RDSS terminals......................	100
2.	Begin development of production of HALOPRISM terminal using test results.	200
3.	Integrate RDSS into the C3/IRM Command Center Architecture	100
	TOTAL	400

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA PERSONNEL SUPPORT	AMOUNT REQUESTED $750,000
PROGRAM INCREASE HUMAN RESOURCE MANAGEMENT EFFECTIVENESS		

PROBLEM: Personnel costs consume more than one-half of the Coast Guard's Operating Expenses budget. Technological advances, increasing operational workload and mission complexity, and increasing multi-unit/multi-agency modes of operations have placed ever greater demands upon human resources—getting the right person with the right skills in the right place at the right time is becoming more critical. Demographic changes are posing significant challenges to all of the military services as well as the private sector. Human resource management must therefore be made as cost-effective and efficient as possible.

OBJECTIVES: Conduct occupational analyses of Coast Guard work to permit better workforce mix/organization and serve as a basis for training programs. Develop measures of effectiveness for personnel management to ensure efficient allocation of scarce personnel support resources. Develop means to incorporate personnel costs in system life-cycle costing for new operating resource acquisitions. Develop computer models (adapting DoD models as feasible) which facilitate better decision making. Discover best approach to recruiting high-potential youth during the next decade.

APPROACH: Develop measurement and decision-support tools to assist personnel managers in allocating resources to training and personnel support programs (child care, family services, morale and recreation, family housing). Develop models to facilitate decisions about workforce mix (officer/enlisted, military/civilian) and to permit "what-if" analysis of possible long-term results.

BENEFITS: Enable Coast Guard to sustain a quality workforce at lowest cost in the face of changing demographics and work environments. Facilitate decisions which improve the effectiveness and enhance the efficiency of the workforce in the operating environment .

ACCOMPLISHMENTS

FY1989 & PRIOR: Examined issues related to minority recruiting, personnel rotation and home-porting issues, military pay forecasting, and recruit biographic data. Began occupational analyses of 7 military specialties. Surveyed DoD agencies; began development of integrated Military Workforce Model specifications incorporating best features found. Examined measures of productivity for personnel support programs used in DoD, government agencies, and private sector.

PLANNED FY1990: Complete workforce model specifications. Develop prototype survey to measure benefits of support programs. Continue occupational analyses for 7 military specialties. Implement changes based upon previous analyses. Design concept suitable to Coast Guard to require Manpower, Personnel, Training and Safety (MPTS) considerations in major systems acquisitions.

APPROPRIATION HISTORY

	APPROPRIATION	
PROGRAM	YEAR	AMOUNT ($000)
Personnel Research and Development................................	1988	300
Personnel Research and Development................................	1989	800
Personnel Research and Development................................	1990	828

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Complete occupational analyses begun in FY1989; begin survey of 6 additional military specialties. Develop logic flow and write model specifications. Develop benefits measurement survey..............................	750

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $1,000,000

PROGRAM
OPERATIONS RESEARCH/ENGINEERING ANALYSIS

PROBLEM: Several classes of Coast Guard vessels will require replacement in the next two decades. Replacement of vessels in a constrained budget environment requires accurate analyses of equipment options and the impact of changes in traditional operations. This evaluation of alternatives requires testing, data collection, and data base maintenance. A structured methodology is needed to introduce improvements in technologies into future acquisitions.

OBJECTIVES: Provide analytical tools and necessary technology to evaluate vessel acquisition alternatives and to assist the Coast Guard in deployment, support, and maintenance of vessels. Systematically assess developments in the marine engineering industry for application to Coast Guard vessels. Conduct full-scale vessel tests and evaluations.

APPROACH: Use state-of-the-art Operations Research and Analysis techniques to develop mission simulation models, cost analysis models, fleet mix models, and databases, as well as information collection methods, both technical and performance, on vessels and operational techniques. Incorporate all information into decision support systems for Operations and Acquisition Planning and Management. Compare and assess marine vehicle concepts relative to new needs and current vessels. Conduct full-scale technical and operational evaluations of present Coast Guard vessels, lead ships and promising vessels outside the Coast Guard. Assess present and developing military and commercial marine technology improvements for potential USCG use.

BENEFITS: Enhanced decision making accuracy and timeliness for Coast Guard acquisitions. Credible data and cost/benefit analysis for judging among alternatives and choosing best design. Reduced technical and cost risks. Efficiencies due to use of generic tools and data bases applicable to all vessel acquisitions. Improved performance and potential multi-mission fleet.

ACCOMPLISHMENTS

FY1989 & PRIOR: Completed first Aids to Navigation Mission Model (ANGEL) prototype and first Acquisition Decision Support System (DSS) prototype. Installed Cutter Scheduling Assistance Program (CSAP) knowledge base and completed initial Vessel Database System (VDBS) data entry. WLB/WLM Engineering Evaluation Criteria and Critical Machinery studies completed. Completed seakeeping analysis of SEA HAWK Ride Control System and conducted Tactical Data Tests using Differential GPS on CGC SENECA, CGC HAMILTON, and CGC TAMPA. Performed 27' Shark-Cat TECHEVAL and began preparations for 32' Shark-Cat and 47' MLB TECHEVALs. Initiated Unmanned Vehicle System Feasibility Study. Continued work on Multi-Unit Law Enforcement Simulator Model (MULESIM) prototype.

PLANNED FY1990: Complete MULESIM Prototype, enhance ANGEL Model, and begin Force Mix Model Prototype. Complete WLB/WLM Integrated Logistics Support (ILS) Evaluation Criteria Study and enhance Acquisition DSS Prototype. Perform CSAP Prototype and MULESIM Pre-prototype demonstrations. Complete 32' Shark-Cat TECHEVAL, 47' MLB TECHEVAL and Fast Maritime Response Craft study. Begin development of law enforcement interdiction MODEL DSS incorporating MULESIM model. Complete Unmanned Vehicle Systems Feasibility study. Begin planning for field testing of SWATH and/or ACV in FY1990 or FY1991.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	AMOUNT ($000)
Operations Research/Engineering Analysis..................	1988	950
Operations Research/Engineering Analysis..................	1989	900
Operations Research/Engineering Analysis..................	1990	950

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Complete DSS; Finish Ship Acquisition Cost Model and Design Synthesis Model Survey; Complete CSAP and MULESIM Prototype; Final Report on 47' MLB OPEVAL; Perform SWATH and/or ACV field tests..	000

DEPT. OF TRANSP., USCG, CGHQ-4830 (REV. 8-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY)	PROGRAM AREA	AMOUNT REQUESTED
1991	MULTI-MISSION	$600,000

PROGRAM

ENGINEERING SUPPORT

PROBLEM: The Coast Guard operates a fleet of approximately 250 cutters and over 2,000 small rescue and utility craft. To properly maintain and operate this fleet, in-service problems must be corrected, subsystems should be made as efficient as possible, and vessel performance should be monitored, evaluated, and improved where possible. As vessels approach replacement age it is necessary to evaluate and predict the performance of candidate craft and critical subsystems to ensure suitability for intended missions.

OBJECTIVES: The Engineering Support program has two objectives. The first is to develop and maintain capability to evaluate hydrodynamic behavior of candidate replacement craft for certification purposes and to remedy anomalous behavior of existing craft. The second objective is to analyze and develop solutions to problems on existing subsystems, such as improving propulsor efficiency, analyzing vessel structural integrity, and evaluating launch systems for small boats from parent craft.

APPROACH: Obtain and evaluate hydrodynamic performance data and characteristics such as seakeeping, resistance, propulsion, maneuvering, and stability of proposed replacement craft using model testing, computer performance prediction, or model validation techniques. Examine, modify, test, and evaluate subsystems on existing vessels to make them more efficient, maintainable and capable, and also to reduce crew fatigue.

BENEFITS: Establishment of a valid database for management and acquisition purposes. More efficient (greater fuel savings, better performance, etc.) and safer vessels in both the existing and future fleets. Enhancement of in-house expertise necessary to retain the ability to perform fleet support and verify acceptability of work performed by subcontractors.

ACCOMPLISHMENTS

FY1989 & PRIOR: Completed testing and evaluation of Advanced Propulsor System on a 41′ Coast Guard utility boat for improved fuel efficiency and initiated study to determine class of vessel where advanced propulsor installation would provide the most benefit. Reworked lift fan and propulsion systems on SEA HAWK Class Surface Effect Ships (SES) to correct in-service problems and enhance efficiency. Installed and tested a ride control system for SES vessels to increase habitability and reduce crew fatigue. Performed detailed evaluation of structural adequacy and assessed life expectancy on Island Class vessels. Evaluated installation of lightweight composite armor on Coast Guard patrol boats for protection of crew and to reduce vulnerability to attack. Installed, tested, and evaluated a Rudder Roll Stabilizer System on the USCGC MORGENTHAU. Performed a test and evaluation on a diesel Rigid Hull inflatable Boat (RHIB).

PLANNED FY1990: Install, test, and evaluate Advanced Propulsor System on the Coast Guard vessel identified as having the potential for providing the largest return. Start dynamic stability and seakeeping studies and continue planing hull stability studies. Perform life expectancy study comparing Island Class to Heritage Class patrol boats. Continue work on Stern Launch System for Heritage Class and publish final report on diesel RHIB test and evaluation.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	 AMOUNT ($000)
Engineering Support..	1988	448
Engineering Support..	1989	527
Engineering Support..	1990	450

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Complete dynamic stability and seakeeping study; Final report on Advanced Propulsor Studies; Complete Planing Hull Stability Study on 30′ surf rescue boats; Complete Oblique Seas Model Tests; Continue efforts to increase vessel habitability and reduce crew fatigue........	600

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $160,000

PROGRAM

COAST GUARD CUTTER FIRE SAFETY ENGINEERING METHODOLOGY AND TESTING

PROBLEM: Fires and explosions aboard Coast Guard cutters pose a continuing threat to life and property at sea. The Coast Guard must do everything it can to minimise these occurrences and their consequences. Economic pressures make it necessary to optimise fire protection for each type of compartment, and for every Coast Guard cutter.

OBJECTIVES: Improve fire and safety aboard Coast Guard cutters. Provide automated tools for optimizing fire safety during the design of Coast Guard cutters.

APPROACH: Develop a comprehensive Ship Fire Safety Engineering Methodology (SFSEM) (a computer analysis tool) for the design and application of fire safety on ships that integrates fire prevention and active/passive fire protection systems, both automated and manual. Structure the methodology to require consideration of all fire protection factors and to maintain an experimental history for use in future analyses. Evaluate potential fire safety hazards or improved fire protection techniques on ships through full-scale tests at the Marine Fire and Safety Test Facility (MF&STF) in Mobile, Alabama.

BENEFITS: Reduced risk of loss of life and property on Coast Guard cutters by improved fire safety design, damage control readiness and materials specification. Reduced cost of Coast Guard vessels by optimizing fire protection equipment use.

ACCOMPLISHMENTS

FY1989 & PRIOR: Application of Ship Fire and Safety Engineering Method on the POLAR Icebreaker Replacement design resulted in specific design recommendations to improve fire safety and reduce cost. Completed evaluation of fire hose nozzles resulting in replacement of all ship nozzles with variable pattern nozzles.

PLANNED FY1990: Evaluate the effectiveness of Halon substitutes for Coast Guard applications. Develop automated fire protection data base to simulate fire scenarios for test of computerized analysis tool.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION	
	YEAR	AMOUNT ($000)
Coast Guard Cutter Fire Safety Engineering Methodology and Testing	1989	100
Coast Guard Cutter Fire Safety Engineering Methodology and Testing	1990	90

CURRENT ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Continue to develop structural methodology (SFSEM) for assessing fire safety on Coast Guard cutters - integrate improved predictive models for smoke movement and emergency egress	80
2.	Complete full scale high expansion firefighting foam evaluation	60
3.	Test sprinkler applied foam system	20
	TOTAL	160

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $600,000

PROGRAM

PORTS AND WATERWAYS MANAGEMENT INFORMATION SYSTEM (PAWMIS)

PROBLEM: The details and complexity of the Marine Safety Office and the Captain of the Port (MSO/COTP) District Waterways Management and other shore command functions require more effective handling of large amounts of information. This information resides in reference books and on mainframe computers, and is difficult to access and collate quickly.

OBJECTIVES: Determine feasibility of a microcomputer-based graphical tactical display system for rapid information retrieval and analysis for emergency response, port safety/port security, aids to navigation management, and search and rescue missions. Design generic software to meet identified needs.

APPROACH: PAWMIS is composed of several components which will eventually be integrated into a single system. Identification of response data needs is the first step. Following this phase, individual graphical computer-based modules for each noted application will be developed. The Spill Response Module will ensure that the CG has access to background information and technical expertise necessary to monitor and approve the progress of an oil or hazardous material spill and its cleanup. Other modules for Port Safety/Security, Aids to Navigation (ATON), Search and Rescue (SAR) and Environmental protection will be developed and integrated for use by MSO, COTP, Operation Centers and others to aid in meeting their mission and administrative requirements.

BENEFITS: Spill Response Module potential benefits are: better definition of technology and spill response information, making the Coast Guard more effective in applying and monitoring cleanup techniques; reduced time spent responding to spills; reduced amounts of oil or hazardous materials remaining in the water long enough to affect the environment; reduced amounts of oil or hazardous materials reaching the shoreline; increased safety for those responding to hazardous materials spills; and improved contingency planning. Other modules of the project are designed to increase productivity and effectiveness by developing comprehensive automated databases for administrative and management functions in Aids to Navigation, Port Safety, Port Security, Search and Rescue, and other areas. Quantitative benefits will be better defined as the project progresses. However, the potential for monetary savings in the spill response area (considering the enormous costs involved in such evolutions) and the increased effectiveness to plan and execute operational functions in areas that PAWMIS addresses appear quite high.

ACCOMPLISHMENTS

FY1989 & PRIOR: A select project feasibility study in FY1985 examined the tactical use of databases, as done with NOAA's Computer-Aided Mobile Emergency Operations (CAMEO system), the basis for PAWMIS. Began design of Spill Response Module for prototype testing.

PLANNED FY 1990: Begin Port Safety/Security Module. Complete study of two ports for test and evaluation of Port Safety/Security Module. Begin study of additional ports for evaluation of Port Safety/Security Module. Test and evaluate the Spill Response Prototype System.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	APPROPRIATION AMOUNT ($000)
Ports and Waterways Management Information System...............	1989	400
Ports and Waterways Management Information System...............	1990	400

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	PAWMIS - Complete six prototype port studies for evaluating Port Safety/Security modules. Complete Port Safety/Security Module design...	600

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA MULTI-MISSION	AMOUNT REQUESTED $1,800,000

PROGRAM

SELECT PROJECT RESEARCH AND DEVELOPMENT

PROBLEM: The programming, planning, and budget cycle for R&D funding requires at least 19 months from need identification to project inception. Information needed to predict feasibility, cost and benefits of potential projects is often sketchy and inconclusive. For certain problems, especially those related to changing missions, environment, or technology, the Coast Guard needs quick R&D response. Major events, such as the major oil spill in Valdez, AK, often identify immediate, non-budgeted R&D needs.

OBJECTIVES: Respond to problems requiring immediate R&D solutions. Investigate potential high payoff research opportunities. Continuously assess impacts of emerging technology on Coast Guard operations. Provide funds for certain multi-agency projects.

APPROACH: Provide a means to investigate research opportunities not specifically programmed or budgeted that would otherwise be missed due to normal funding lead times. Define relevant areas of technology. Assess impact on Coast Guard missions of environmental and technological changes both in the near and long term.

BENEFITS: Efforts in this area will identify and address research opportunities in rapidly changing technologies and environments. Results will allow the Coast Guard to perform missions more efficiently, effectively, and in areas where performance was not feasible before. Specific benefits will be examined on a project-by-project basis to ensure expected output is commensurate with cost. Front-end studies will allow better planning of major projects before large commitment of resources.

ACCOMPLISHMENTS

FY 1989 & PRIOR: Examined alternative navigation lights, emergency egress from vessels, and electrical hazards to tank vessels. Tested hypothermia-preventing ability of anti-exposure suits for SAR teams. Studied low accession/retention of minorities, detection methods for concealed compartments, fuel tank permeability and flotation foam degradation. Studied automatic navigation chart digitization, voice broadcast automation, and use of AIREYE for aid-to-navigation positioning. Funded National Research Council Marine Board, Ship Structure Committee and other cost-effective multi-agency efforts. Provided minor funding to a "Research Associates" program which encourages innovative solutions to present problems by field personnel.

PLANNED FY 1990: Continue/complete efforts initiated in FY1989. Continue to investigate time sensitive, short-term, high-payoff research opportunities.

APPROPRIATION HISTORY

	APPROPRIATION	
PROGRAM	YEAR	AMOUNT ($000)
Select Project Research and Development	1988	1,500
Select Project Research and Development	1989	700
Select Project Research and Development	1990	550

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
I.	Pursue quick-response research and development projects. Examine the feasibility of potential projects and support multi-agency projects	1,800

DEPT. OF TRANSP., USCG, CGHQ-4836 (REV. 6-84)
PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA MULTI-MISSION (ALL)	AMOUNT REQUESTED $1,500,000

PROGRAM

RDT&E PROGRAM SUPPORT AND OPERATIONS

PROBLEM: The RDT&E program incurs expenses for office and laboratory space, services, training, equipment, and supplies that must be adequately funded.

OBJECTIVES: Provide necessary in-house facilities and resources for the execution of the Coast Guard RDT&E Program.

APPROACH: Provide operating funds to support RDT&E efforts. Maintain space for the Planning and Coordination Staff at Headquarters, and operate R&D Center at Groton, CT.

BENEFITS: Maintain facilities for R&D supporting Coast Guard missions. Provide capability to pursue areas of technology for the solution of present and future problems.

ACCOMPLISHMENTS

FY 1989 & PRIOR: Provided operating funds for the RDT&E Program.

PLANNED FY 1990: Continue to provide operating funds for the RDT&E Program.

APPROPRIATION HISTORY

PROGRAM	APPROPRIATION YEAR	 AMOUNT ($000)
RDT&E Program Support and Operations	1988	1,900
RDT&E Program Support and Operations	1989	1,800
RDT&E Program Support and Operations	1990	1,550

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Provide necessary facilities and resources for the RDT&E program (lease, utilities, maintenance contracts, computer support, training, and supplier.)	1,500

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PREVIOUS EDITION IS OBSOLETE

RESEARCH, DEVELOPMENT, TEST AND EVALUATION

FISCAL YEAR (FY) 1991	PROGRAM AREA MULTI-MISSION (ALL)	AMOUNT REQUESTED $6,300,000

PROGRAM

PERSONNEL AND RELATED COSTS

PROBLEM: Adequate pay, benefits and related costs are needed for civilian and military staff.

OBJECTIVES: Provide necessary personnel resources for the execution of the Coast Guard RDT&E program.

APPROACH: Provide staff and support for RDT&E efforts. From these maintain a Headquarters planning and coordination staff, the Coast Guard R&D Center staff for contract monitoring/project management capability, and an in-house capability (to include the Fire and Safety Test Detachment) for projects requiring flexibility, quick response, "hands-on" test and evaluation, continuity of technical expertise, and coverage of areas with no contractual (i.e., industrial) base.

BENEFITS: Provides an expert staff to conduct research and development supportive of Coast Guard missions. Provides capability to pursue areas of technology for the solution of present and future problems.

ACCOMPLISHMENTS

FY 1989 & PRIOR: Managed and administered the RDT&E support program. Conducted in-house research at the Coast Guard Research and Development Center. Served as technical representatives for R&D contracts.

PLANNED FY 1990: Manage and administer the RDT&E support program. Conduct in-house research and serve as technical representatives for R&D contracts.

APPROPRIATION HISTORY

	APPROPRIATION	
PROGRAM	YEAR	AMOUNT ($000)
Personnel and Related Costs..	1988	7,100
Personnel and Related Costs..	1989	5,500
Personnel and Related Costs..	1990	5,600

COST ESTIMATE OF WORK TO BE DONE THIS YEAR

ITEM NO.	PROGRAM ELEMENTS	AMOUNT ($000)
1.	Personnel compensation, benefits, and related personnel support....	6,300

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PREVIOUS EDITION IS OBSOLETE

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02/15/90

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
POLLUTION FUND

Program and Financing (in thousands of dollars)

Identification code: *69-5168-0-2-304*	*1989 actual*	*1990 estimate*	*1991 estimate*
Program by activities:			
10.00 Total obligations	35,509	44,500	15,000
Financing:			
21.40 Unobligated balance available, start of year	-7,299	-2,771	-13,971
24.40 Unobligated balance available, end of year	2,771	13,971	4,671
60.00 Budget authority (appropriation) (permanent, indefinite)	30,980	55,700	5,700
Relation of obligations to outlays:			
71.00 Obligations incurred net	35,509	44,500	15,000
72.40 Obligated balance, start of year	2,924	23,544	36,544
74.40 Obligated balance, end of year	-23,544	-36,544	-22,244
90.00 Outlays	14,888	31,500	29,300

PF2
COAST GUARD -- Pollution Fund

PROGRAM AND PERFORMANCE

This fund insures immediate cleanup of oil or other hazardous polluting substances spilled into the navigable waters of the United States, adjoining shorelines or waters of the contiguous zone. The fund is used when a spill occurs and the responsible owners or operators of a vessel, onshore facility, or offshore facility do not accomplish an immediate cleanup with their own resources. Expenditures from the fund are later reimbursed by the responsible owners or operators.

In 1989 the fund experienced the largest spill in its history. The grounding of the Tanker Exxon Valdez spilled approximately 11 million gallons of oil in the Prince William Sound in Alaska. As a result, Pollution Fund anticipated receipts will increase in FY 1990 to support the ongoing cleanup of Prince William Sound. Pollution Fund anticipated receipts for FY 1991 will decrease in anticipation of completing the Exxon Valdez oil spill cleanup. In addition, as a result of the Exxon Valdez spill, funds are available in 1990 for an ongoing Natural Resource Damage Assessment study being conducted by the State of Alaska and three other federal agencies.

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
POLLUTION FUND
Object Classification (in thousands of dollars)

Identification code: *69-5168-0-2-304*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
21.0	Travel and transportation of persons	248	400	200
25.0	Other services	26,810	34,100	14,500
26.0	Supplies and materials	8,451	10,000	300
99.9	Total obligations	35,509	44,500	15,000

OFFSHORE OIL POLLUTION COMPENSATION FUND

The Secretary of Transportation is authorized to issue to the Secretary of the Treasury notes or other obligations in such amounts and at such times as may be necessary to the extent that appropriations are not adequate to meet the obligations of the Fund: *Provided,* That none of the funds in this Act shall be available for the implementation or execution of programs the obligations for which are in excess of $60,000,000 in fiscal year [1990] *1991* for the "Offshore Oil Pollution Compensation Fund". *(Department of Transportation and Related Agencies Appropriations Act, 1990.)*

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OFFSHORE OIL POLLUTION COMPENSATION FUND

Amounts Available for Appropriation (in thousands of dollars)

Identification code: *69-5167-0-2-304*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
01.01	Unappropriated balance, start of the year: U.S. Securities: Par value	127,300	147,891	167,369
	Receipts:			
02.01	Collections	5,731	6,700	8,700
02.02	Interest on investments	14,860	12,778	17,855
02.99	Total receipts	147,891	167,369	193,924
04.00	Total available for appropriation	147,891	167,369	193,924
07.01	Unappropriated balance, end of the year: U.S. Securities: Par value	147,891	167,369	193,924

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OFFSHORE OIL POLLUTION COMPENSATION FUND

Program and Financing (in thousands of dollars)

Identification code: *69-5167-0-2-304*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Program by activities:			
10.00	Total obligations	64	150	200
	Financing:			
	Unobligated balance available, start of year:			
21.40	Treasury balance	-1,246	-23	-8
21.41	U.S. Securities: Par value	798	-361	-226
	Unobligated balance available, end of year:			
24.40	Treasury balance	23	8	8
21.41	U.S. Securities: Par value	361	226	26
39.00	Budget authority	....	....	....
	Relation of obligations to outlays:			
71.00	Obligations incurred, net	64	150	200
72.40	Obligated balance, start of year	48	27	27
74.40	Obligated balance, end of year	-27	-27	-27
90.00	Outlays	85	150	200

OSO
COAST GUARD -- Offshore Oil Pollution Compensation Fund

PROGRAM AND PERFORMANCE

The Offshore Oil Compensation Fund pays compensation for damages, including cleanup, resulting from oil spills associated with oil production on the Outer Continental Shelf.

Collection of the three cent per barrel fee has been reinstated in accordance with the Omnibus Budget Reconciliation Act of 1989 (P.L. 101-239) that amends Title III of the Outer Continental Shelf Lands Act Amendments of 1978 (43 U.S.C.).

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OFFSHORE OIL POLLUTION COMPENSATION FUND
Object Classification (in thousands of dollars)

Identification code: *69-5167-0-2-304*		*1989 actual*	*1990 estimate*	*1991 estimate*
21.0	Travel and transportation of persons	3	18	20
25.0	Other services	6	112	160
26.0	Supplies and materials	55	20	20
99.9	Total obligations	64	150	200

Deepwater Port Liability Fund

The Secretary of Transportation is authorized to issue, and the Secretary of the Treasury is authorized to purchase, without fiscal year limitation, notes or other obligations in such amounts and at such times as may be necessary to the extent that available appropriations are not adequate to meet the obligations of the Fund: *Provided*, That none of the funds in this Act shall be available for the implementation or execution of programs the obligations for which are in excess of $50,000,000 in fiscal year [1990] *1991* for the "Deepwater Port Liability Fund". *(Department of Transportation and Related Agencies Appropriations Act, 1990.)*

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
DEEPWATER PORT LIABILITY FUND

Amounts Available for Appropriation (in thousands of dollars)

Identification code: *69-5170-0-2-304*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
01.01 Unappropriated balance, start of year:			
U.S. Securities: Par value	4,627	5,346	5,615
02.00 Receipts	719	269	655
04.00 Total available for appropriation	5,346	5,615	6,270
07.01 Unappropriated balance, end of year:			
U.S. Securities: Par value	5,346	5,615	6,270

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
DEEPWATER PORT LIABILITY FUND

Program and Financing (in thousands of dollars)

Identification code: 69-5170-0-2-304	*1989 actual*	*1990 estimate*	*1991 estimate*
Financing:			
Unobligated balance available, start of year:			
21.40 Treasury balance	-31	-4	-4
21.41 U.S. Securities: Par value	-30	-57	-57
Unobligated balance available, end of year:			
24.40 Treasury balance	4	4	4
24.41 U.S. Securities: Par value	57	57	57
39.00 **Budget authority**	....	....	....
Relation of obligations to outlays:			
71.00 Obligations incurred, net	....	....	....
90.00 Outlays	....	....	....

DWF3
COAST GUARD -- Deepwater Port Liability Fund

PROGRAM AND PERFORMANCE

The Deepwater Port Act of 1974 provided a system for determination and settlement of claims for all cleanup costs and damages incurred as a result of discharges of oil into the marine environment from deepwater port activities. The Deepwater Port Act Amendments of 1984 suspended the 2-cent-per-barrel fee to be assessed against all oil delivered at deepwater ports and to be deposited in this fund. The collection of this fee may not resume unless the fund balance falls below $4,000,000. Additional funds are not requested for fiscal year 1991.

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
OIL SPILL LIABILITY TRUST FUND

Amounts Available for Appropriation (in thousands of dollars)

Identification code: *69-8125-0-7-304*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
01.01 Unappropriated balance, start of year: U.S. Securities: Par value	....	....	124,000
02.00 Receipts	....	124,000	238,000
04.00 Total available for appropriation	....	124,000	362,000
07.01 Unappropriated balance, end of year: U.S. Securities: Par value	....	124,000	362,000

The Budget Reconciliation Act of 1989, Public Law 101-239, initiates the collection of receipts into the Oil Spill Liability Trust Fund, effective January 1, 1990.

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD SUPPLY FUND

Program and Financing (in thousands of dollars)

Identification code: *69-4535-0-4-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Program by activities:			
10.00	Total obligations (object class 26.0)	64,620	72,758	75,669
	Financing:			
	Offsetting collections from:			
11.00	Federal funds	-70,308	-65,661	-67,158
14.00	Non-Federal sources	5,765	-7,005	-8,419
21.90	Unobligated balance available, start of year: Fund balance	-314	-237	-145
24.90	Unobligated balance available, end of year: Fund balance	237	145	53
39.00	**Budget authority**	....	....	....
	Relation of obligations to outlays:			
71.00	Obligations incurred, net...................	77	92	92
72.90	Obligated balance, start of year: Fund balance	8,032	11,310	11,002
74.90	Obligated balance, end of year: Fund balance	-11,310	-11,002	-10,694
90.00	Outlays	-3,201	400	400

SF2
COAST GUARD--Coast Guard Supply Fund

PROGRAM AND PERFORMANCE

The Coast Guard supply fund, in accordance with 14 U.S.C. 650, finances the procurement of uniform clothing, commissary provisions, general stores, technical material, and fuel for vessels over 180 feet in length. The fund is normally financed by reimbursements from sale of goods.

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD YARD FUND

Program and Financing (in thousands of dollars)

Identification code: *69-4743-0-4-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Program by activities:			
	Operating expenses:			
00.01	Cost of goods sold	13,425	12,914	13,731
00.02	Other	26,278	25,283	26,880
00.91	Total operating expenses	39,703	38,197	40,611
01.01	Capital investment: Purchase of equipment	1,957	850	925
10.00	Total obligations	41,660	39,047	41,536
	Financing:			
	Offsetting collections from:			
11.00	Federal funds	-45,801	-40,359	-35,571
14.00	Non-Federal sources	-84	-50	-50
21.90	Unobligated balance avalable, start of year: Fund balance	-27,923	-32,148	-33,510
24.90	Unobligated balance avalable, end of year: Fund balance	32,148	33,510	27,595
39.00	**Budget Authority**	....	....	....
	Relation of obligations to outlays:			
71.00	Obligations incurred, net	-4,226	-1,362	5,915
72.90	Obligated balance, start of year Fund balance	25,600	18,041	22,641
74.90	Obligated balance, end of year Fund balance	-18,041	-22,641	-23,556
90.00	Outlays	3,334	-5,962	5,000

YF
COAST GUARD--Coast Guard Yard Fund

PROGRAM AND PERFORMANCE

This fund finances industrial operation of the Coast Guard Yard, Curtis Bay, MD (14 U.S.C.). The Yard finances its operations out of advances received from Coast Guard appropriations and other agencies for all direct and indirect costs.

ANALYSIS BY TYPE OF WORK
(Percent)

	1989 actual	1990 estimate	1991 estimate
Vessel repairs and alterations..................	75	79	73
Vessel construction............	10	3	10
Boat repairs and construction.	1	1	1
Fabrication of special and miscellaneous items.........	14	17	16
Total...................	100	100	100

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD YARD FUND

Object Classification (in thousands of dollars)

Identification code: *69-4743-0-4-403*		*1989 actual*	*1990 estimate*	*1991 estimate*
	Personnel compensation:			
11.1	Full-time permanent	15,107	14,942	16,503
11.3	Other than full-time permanent	281	420	464
11.5	Other personnel compensation	2,746	3,108	3,465
11.7	Military personnel	483	721	797
11.9	Total personnel compensation	18,617	19,191	21,229
12.1	Civilian personnel benefits	2,878	2,133	2,475
12.2	Military personnel benefits	27	65	72
21.0	Travel and transportation of persons	98	148	113
22.0	Transportation of things	63	72	88
23.3	Communications, utilities, and miscellaneous charges	1,385	1,296	1,348
25.0	Other services	2,143	2,000	2,087
26.0	Supplies and materials	14,259	12,092	12,274
31.0	Equipment	2,187	2,050	1,850
43.0	Interest and dividends	3	....	....
99.9	Total obligations	41,660	39,047	41,536

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD YARD FUND
Personnel Summary

Identification code: *69-4743-0-4-403*	*1989 actual*	*1990 estimate*	*1991 estimate*
Military:			
Total number of full-time permanent positions	24	24	24
Total compensable workyears:			
Full-time equivalent employment	24	24	24
Civilian:			
Total number of full-time permanent positions	654	654	654
Total compensable workyears:			
Full-time equivalent employment	608	632	632
Full-time equivalent of overtime and holiday hours	69	56	56

Trust Funds

BOAT SAFETY

For payment of necessary expenses incurred for recreational boating safety assistance under Public Law 92-75, as amended, $30,000,000, to be derived from the Boat Safety Account and to remain available until expended. *(Department of Transportation and Related Agencies Appropriations Act, 1990.)*

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
AQUATIC RESOURCES TRUST FUND

Amounts Available for Appropriation (in thousands of dollars)

Identification code: *20-8147-0-7-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Unappropriated balance, start of year: U.S. Securities:			
01.01	Par value	428,950	448,419	447,545
01.02	Unrealized discount	-4,105	-2,163	-2,000
	Receipts:			
02.01	Motorboat fuels tax	110,917	117,000	121,000
02.02	Excise taxes on sport fishing equipment	76,188	85,788	89,711
02.03	Import duties on tackle and yachts	46,722	28,512	30,130
02.04	Interest on investments	37,410	21,000	22,000
	Total receipts	271,237	252,300	262,841
	Total:			
04.00	Available for appropriation	696,082	698,556	708,386
04.10	Not available for appropriation (unrealized discounts)	4,105	2,163	2,000
	Appropriations:			
	National Park Service (Department of the Interior):			
05.01	Land and Water Conservation Fund (Motorboat fuels tax).	-1,000	-1,000	-1,000
	U.S. Coast Guard (Department of Transportation):			
05.02	Boat safety (motorboat fuels tax)	-30,000	-29,910	-30,000
05.03	Operating expenses (motorboat fuels tax)	-30,000	-29,910	-30,000

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
AQUATIC RESOURCES TRUST FUND

Amounts Available for Appropriation (in thousands of dollars) (Con't)

Identification code: *20-8147-0-7-403*		*1989* *actual*	*1990* *estimate*	*1991* *estimate*
	Appropriations (Con't):			
	U.S. Fish and Wildlife Service (Department of the Interior):			
05.04	Sports fish restoration account	-186,663	-190,191	-212,400
05.99	Total appropriations	-247,663	-251,011	-273,400
	Unappropriated balance, end of year: U.S. Securities:			
07.01	Par value	448,419	447,545	434,986
07.02	Unrealized discount	-2,163	-2,000	-2,000

BS

The Internal Revenue Code of 1954, as amended, and the Federal Boat Safety Act of 1971 (P.L. 92-75), as amended, provide for the transfer of Highway Trust Fund revenue derived from the motor boat fuel tax and certain other taxes to the Aquatic Resources Trust Fund. The Secretary of the Treasury estimates the amounts to be so transferred. In turn, appropriations are authorized from this fund to meet expenditures for recreational boating safety assistance and other programs specified by law.

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
BOAT SAFETY

Program and Financing (in thousands of dollars)

Identification code: 69-8149-0-7-403		*1989 actual*	*1990 estimate*	*1991 estimate*
	Program by activities:			
00.01	State recreational boating safety programs	28,714	29,312	29,400
00.02	Operating expenses: Coast Guard	30,600	30,508	30,600
10.00	Total obligations	59,314	59,820	60,000
	Financing:			
21.40	Unobligated balance available, start of year	-1,000	-686	-686
24.40	Unobligated balance available, end of year	686	686	686
39.00	**Budget authority**	**59,000**	**59,820**	**60,000**
	Budget Authority:			
40.00	Appropriation	60,000	60,000	60,000
40.00	Reduction pursuant to P.L. 101-164	....	-180	....
40.50	Balance of appropriation to liquidate contract authority withdrawn	-1,000	....	....
43.00	**Appropriation (adjusted)**	**59,000**	**59,820**	**60,000**

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
BOAT SAFETY

Program and Financing (in thousands of dollars), p.2

Identification code *69-8149-0-7-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Relation of obligations to outlays:			
71.00 Obligations incurred, net	59,314	59,820	60,000
72.40 Obligated balance, start of year	19,061	20,463	20,463
74.40 Obligated balance, end of year	-20,463	-20,463	-20,463
90.00 Outlays	57,912	59,820	60,000

BS7
COAST GUARD -- Boat Safety Account

PROGRAM AND PERFORMANCE

This account provides financial assistance for the development and implementation of a coordinated national recreational boating safety program. The amount provided as financial assistance to the States and Territories is proposed to be $30 million in 1991. In addition, $30 million will be expended in 1991 for Operating Expenses.

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
BOAT SAFETY

Object Classification (in thousands of dollars)

Identification code 69-8149-0-7-403		*1989 actual*	*1990 estimate*	*1991 estimate*
25.0	Other services	30,600	30,508	30,600
41.0	Grants, subsidies, and contributions	28,714	29,312	29,400
99.9	Total obligations	59,314	59,820	60,000

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD GENERAL GIFT FUND

Program and Financing (in thousands of dollars)

Identification code: *69-8533-0-7-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Program by activities:			
10.00 Total obligations	−15	80	80
Financing:			
Unobligated balance available, start of year:			
21.40 Treasury balance	−15	−10	−10
21.41 U.S. Securities: Par value	−140	−160	−160
Unobligated balance available, end of year:			
24.40 Treasury balance	10	10	10
24.41 U.S. Securities: Par value	160	160	160
60.00 **Budget authority (appropriation) (permanent, indefinite)**	....	80	80
Relation of obligations to outlays:			
71.00 Obligations incurred, net	−15	80	80
72.40 Obligated balance, start of year	....	4	4
74.40 Obligated balance, end of year	−4	−4	−4
90.00 Outlays	−19	80	80

GF2

COAST GUARD--Coast Guard General Gift Fund (Trust Account)

PROGRAM AND PERFORMANCE

This trust fund, maintained from gifts and bequests, is used for purposes as specified by the donor in connection with the Coast Guard training program (10 U.S.C. 2601).

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
COAST GUARD GENERAL GIFT FUND

Object Classification (in thousands of dollars)

Identification code: *69-8533-0-7-403*		*1989 actual*	*1990 estimate*	*1991 estimate*
25.0	Other services	-20	62	62
26.0	Supplies and materials	3	10	10
31.0	Equipment	2	8	8
99.9	Total obligations	-15	80	80

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
MISCELLANEOUS TRUST REVOLVING FUNDS

Program and Financing (in thousands of dollars)

Identification code: *69-9981-0-8-403*	*1989* *actual*	*1990* *estimate*	*1991* *estimate*
Program by activities:			
00.01 Cadet activities	5,078	5,484	5,923
00.02 Surcharge collections, sales of commissary stores	283	283	283
10.00 Total obligations	5,361	5,767	6,206
Financing:			
Offsetting collections from:			
11.00 Federal funds	-5,078	-5,484	-5,923
14.00 Non-Federal sources	-407	-231	-231
21.90 Unobligated balance avalable, start of year: Fund balance	-409	-533	-481
24.90 Unobligated balance avalable, end of year: Fund balance	533	481	429
39.00 Budget Authority	....	....	....

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
MISCELLANEOUS TRUST REVOLVING FUNDS
Program and Financing (in thousands of dollars), p.2

Identification code: *69-9981-0-8-403*	*1989 actual*	*1990 estimate*	*1991 estimate*
Relation of obligations to outlays:			
71.00 Obligations incurred, net	-124	52	52
72.10 Receivables in excess of obligations, start of year	-398	-124	-97
74.10 Receivables in excess of obligations, end of year	124	97	70
90.00 Outlays	-399	25	25
Distribution of outlays by account:			
Cadet activities	-275	....	....
Surcharge collections, sales of commissary stores	-124	25	25

MIRF3
COAST GUARD--Miscellaneous Trust Revolving Funds

PROGRAM AND PERFORMANCE

The Coast Guard cadet fund is utilized by the Superintendent of the Coast Guard Academy to receive, plan, control, and expend funds for personal expenses and obligations of Coast Guard cadets.

The Coast Guard surcharge collections, sales of commissary stores fund is used to finance expenses incurred in connection with the operation of the Coast Guard commissary stores. Revenue is derived from a surcharge placed on sales (14 U.S.C. 487).

Standard Form 300

DEPARTMENT OF TRANSPORTATION
COAST GUARD
MISCELLANEOUS TRUST REVOLVING FUNDS

Object Classification (in thousands of dollars)

Identification code: *69-9981-0-8-403*		*1989 actual*	*1990 estimate*	*1991 estimate*
23.3	Communications, utilities, and miscellaneous charges	19	20	21
25.0	Other services	3,934	4,232	4,579
26.0	Supplies and materials	1,382	1,487	1,580
31.0	Equipment	26	28	26
99.9	Total obligations	5,361	5,767	6,206

1991 SUPPLEMENTARY BUDGET DATA

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PROGRAM AND PERFORMANCE

1. **Search and rescue** - The Coast Guard maintains a nationwide system of boats, aircraft, cutters, and rescue coordination centers on 24-hour alert capable of responding to notice of a distress incident.

WORKLOAD DATA

	1989 actual*	1990 estimate	1991 estimate
Responses to search and rescue cases..........	65,400	66,000	66,500
Sorties................	83,500	83,750	84,000
Time on sorties (hours)	258,400	260,000	262,000
Lives saved...........	4,000	4,300	4,400
Persons otherwise assisted..............	117,500	120,000	122,800
Property saved ($000)..	$601,000	$1,100,000	$1,100,000
Value of property assisted ($000).......	$2,038,000	$2,200,000	$2,400,000

* FY 1989 SAR figures are projected based on actual data which is only 95% complete to date.

2. **Aids to navigation** - The Coast Guard maintains a network of floating and fixed aids to navigation along our coasts and on inland waterways to insure mariners' safe passage. Loran-C stations provide electronic coastal marine navigation, as well as enroute and non-precision approach aviation navigation capabilities throughout the United States. Domestic Loran-C serves the needs of both civilian and military users throughout the continental U.S. and Alaska. Overseas, Loran-C is operated in support of DOD requirements. Eight OMEGA stations, six of which are operated and funded to various levels by the six host partner nations, provide navigation coverage to military and civilian ships and aircraft nearly worldwide. Radiobeacons operated in the United States provide mariners with an all-weather, low user cost navigation system, used primarily for homing, along our coasts and in the Great Lakes. Administrative control is exercised over the construction, maintenance, and operation of bridges across navigable waters of the United States.

WORKLOAD DATA

	1989 actual	1990 estimate	1991 estimate
Federal floating aids..	14,771	15,660	15,500
Federal fixed aids.....	22,586	19,540	22,500
Private aids authorized	45,640	44,600	46,000
Total vessel traffic service transits......	478,082	500,000	675,000*
Bridge permits and regulations issued....	133	166	183

* Marked increase in VTS transits due to reopening of VTS New York.

3. **Marine safety** - The Coast Guard's marine safety program consists of two major activities:

a. **Marine inspection and marine licensing programs** - The Coast Guard reviews plans and specifications for the construction or alteration of merchant vessels; conducts periodic inspections; investigates casualties; and sets standards, procedures, and practices under which merchant marine personnel are licensed and regulated.

WORKLOAD DATA

	1989 actual	1990 estimate	1991 estimate
Marine inspection:			
Inspections, U.S. vessels (total)...	31,646	31,000	35,650
Inspections, Foreign vessels (total)........	7,770	8,000	8,000
Marine investigations.........	9,300	9,300	9,300
Marine licensing:			
Licensing transactions...........	40,000	40,000	40,000
Seamen's document transactions...........	30,000	38,000	45,000

b. **Recreational boating safety** - The Coast Guard operates a boat safety standards program and provides boater information and support through the Coast Guard Auxiliary as well as the individual State boating safety programs.

WORKLOAD DATA

	1989 actual	1990 estimate	1991 estimate
Factory visits/inspections...	1,500	2,000	2,500
Defect campaigns.............	170	220	250
Persons enrolled in Auxiliary boating education courses...	350,000	360,000	375,000
Courtesy marine examinations (Auxiliary)................	300,000	300,000	300,000

4. **Marine environmental protection** - The Coast Guard's marine environmental protection program consists of two major activities:

a. **Marine environmental readiness** - Under various laws, international agreements and conventions, the Coast Guard is responsible for responding to pollution incidents involving oil and hazardous chemicals. The Coast Guard receives reports, evaluates, responds to, and mitigates potential and actual pollution discharges on waters and land areas defined as the "Coastal Zone", in the National Contingency Plan.

WORKLOAD DATA

	1989 actual	1990 estimate	1991 estimate
Reports of pollution received by the Coast Guard:			
Oil..................	9,000	9,500	9,500
Chemical............	1,300	1,500	1,500
Investigations:			
Oil..................	8,100	8,200	8,500
Chemical............	1,200	1,300	1,500
Responsible party cleanups monitored by the Coast Guard:			
Oil..................	1,900	1,900	1,900
Chemical............	200	200	200
Federally funded cleanups supervised by the Coast Guard:			
Oil..................	200	400	650
Chemical............	50	50	50

b. **Port safety and security** - Under various laws, conventions, international agreements, and memoranda of understanding with other federal agencies, the Coast Guard is charged with promoting port safety and security in ports, on waterways, and on the high seas. The Coast Guard is expected to provide rapid and effective response to port emergencies such as fires, explosions, collisions, civil disturbances, and terrorist incidents. The Coast Guard Captain of the Port (COTP) has extensive law enforcement authority over waterfront facilities, vessels and the navigable waters of the United States, and has a broad role as the coordinator and overseer of port safety and security activities of all parties involved in the port complex. Coast Guard responsibilities in port security have been increased as the result of the combined Navy/Coast Guard Maritime Defense Zone initiative, and under the DOD/DOT Memorandum of Understanding on Port Readiness.

4. **Marine environmental protection (Con't)**

WORKLOAD DATA

	1989 actual	1990 estimate	1991 estimate
Port safety:			
Transfer operations monitored	4,773	7,000	7,000
Waterfront facilities inspected	2,916	4,100	4,100
Harbor patrols	19,231	20,000	20,000
Safety zone patrols	761	850	940
MARPOL facilities inspected	776	850	900
Contingency plan drills	153	170	170
Port security:			
Readiness/counter-terrorism mobilization exercises	98	100	100
Port security card applications processed	2,736	2,500	2,500
Special interest vessel boardings	1,802	2,100	2,250
Security zone patrols	141	125	130

5. **Enforcement of laws and treaties** - Maritime enforcement of laws and treaties is accomplished by cutters and aircraft conducting patrols to enforce international agreements and federal laws on and over the high seas and waters over which the U.S. exercises jurisdiction. Drug enforcement concerns drug smuggling by air and sea; fisheries enforcement involves living marine resources, while general law enforcement concerns illegal immigration, hijacking/theft of vessels and other unlawful activities.

This budget reflects increased Coast Guard efforts in the interdiction of controlled substances being smuggled by air into the United States, including the operation of land based aerostats and the drug interdiction facilities in the Bahamas and the Southeastern U.S.

WORKLOAD DATA

	1989 actual	1990 estimate	1991 estimate
Cutter operating hours:			
Drug enforcement	158,047	199,800	205,200
Fisheries enforcement	51,744	52,300	52,000
General law enforcement	16,305	17,200	17,600
Aircraft flight hours:			
Drug enforcement	28,749	34,800	35,000
Fisheries enforcement	7,031	6,500	6,700
General law enforcement	3,684	4,600	4,700

5. **Enforcement of laws and treaties (Con't)**

WORKLOAD DATA

	1989 actual	1990 estimate	1991 estimate
Drug-related seizures:			
Number of vessels....	152	160	165
Tons of marijuana....	156	150	150
Pounds of cocaine....	15,863	25,000	30,000

6. **Ice operations** - Polar ice operations are performed in the Arctic and Antarctic by icebreakers in support of programs of the Coast Guard and other agencies. Domestic ice operations are performed on the navigable waters of the United States. Also included are certain marine science activities.

WORKLOAD DATA

	1989 actual	1990 estimate	1991 estimate
Polar ice operations:			
Deployment days...........	346	350	350
Domestic ice operations:			
Cutter operating hours....	5,264	3,440	3,440
Aircraft reconnaissance operating hours..........	75	130	130
Vessels assisted..........	275	440	440
International Ice Patrol Aircraft hours.....	524	500	500

7. **Defense readiness** - The Coast Guard operates as a service in the Navy upon declaration of war or during times of national emergency at the direction of the President. During peacetime, the Coast Guard maintains an effective state of military preparedness through individual and unit training, through joint naval training exercises, and through Coast Guard single and multiship operations.

8. **Headquarters administration** - This activity provides funding for administrative services at Coast Guard headquarters, including: executive direction, budget, planning and policy, command, control, communication, operations, financial management, legal, engineering, civil rights, and personnel and health services for the Coast Guard.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
MILITARY FULL-TIME EQUIVALENT ESTIMATES

Pay Grade	1989	1990	1991
O-10	1	1	1
O-09	3	3	3
O-08	14	14	14
O-07	13	13	13
O-06	376	381	385
O-05	705	715	720
O-04	1,037	1,053	1,060
O-03	1,801	1,825	1,840
O-02	1,099	1,116	1,124
O-01	515	523	527
SUBTOTAL	5,564	5,644	5,687
W-04	360	365	365
W-03	514	521	521
W-02	535	542	544
SUBTOTAL	1,409	1,428	1,430
E-10	1	1	1
E-09	265	268	268
E-08	496	501	503
E-07	2,658	2,689	2,697
E-06	5,400	5,464	5,482
E-05	5,346	5,407	5,425
E-04	7,419	7,505	7,531
E-03	4,490	4,542	4,557
E-02	3,627	3,670	3,682
E-01	153	154	155
SUBTOTAL	29,855	30,201	30,301
PHS	164	166	165
CADETS	836	845	838
TOTAL	37,828	38,284	38,421

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
RECRUIT PERSONNEL DATA

FISCAL YEAR	REGULAR RECRUITS	RESERVE RECRUITS	TOTAL RECRUITS
1985	4,716	1,245	5,961
1986	4,114	1,611	5,725
1987	5,900	1,964	7,864
1988	4,505	1,309	5,814
1989	3,564	1,007	4,571
1990 EST	3,609	1,023	4,632
1991 EST	4,342	1,600	5,942

ENLISTED LOSS RATES

FISCAL YEAR	ENLISTED LOSSES	ENLISTED STRENGTH END OF - YEAR	LOSS RATE PERCENTAGE
1983	4,171	32,323	12.9
1984	5,202	31,172	16.7
1985	4,595	31,143	14.8
1986	5,061	30,163	16.8
1987	4,316	31,235	13.8
1988	4,438	30,306	14.6
1989	3,830	29,972	12.8
1990 EST	4,012	29,589	13.6
1991 EST	4,110	29,997	13.7

Loss rate is computed by dividing the total enlisted losses for a given year by the end of year strength for that year. This computation accounts for changes in force structure and length of service profile. In addition, this method is similar to the way other agencies report their loss rates.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

LEASED HOUSING

NUMBER OF COAST GUARD PERSONNEL IN LEASED HOUSING, END OF:

	1988 actual	1989 actual	1990 estimate	1991 estimate
WITH FAMILIES........	2,983	2,756	2,678	2,975
UNACCOMPANIES........	1,338	1,164	1,400	1,400
TOTAL................	4,321	3,920	4,078	4,375

COAST GUARD PUBLIC QUARTERS

NUMBER OF QUARTERS END OF:

	1988 actual	1989 actual	1990 estimate	1991 estimate
OWNED.................	4,761	4,761	4,929**	5,011***
LEASED................	3,512	3,338*	3,478	3,675

* Decrease from FY 1988 due to reduction in OG-01 funding.

** Includes units to be built at Key West, FL (160), SW Harbor, ME (6) and Neah Bay, WA (2).

*** Includes units to be built in Kodiak, AK (40), Cape Cod, MA (30) and St. Ignace, MI (12).

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

AVERAGE COST OF MILITARY PERSONNEL PERMANENT CHANGE OF STATION (PCS) MOVES

FISCAL YEAR	AMOUNT ($000)	AVERAGE NUMBER OF PERSONNEL	NUMBER OF MOVES	AVERAGE COST PER MOVE ($)
1982	30,609	39,036	11,100	2,758
1983	34,482	38,892	10,002	3,448
1984	36,277	39,560	11,433	3,173
1985	33,760	38,722	10,946	3,084
1986	42,521	37,950	12,957	3,282
1987	51,243	37,971	17,333	2,956
1988	52,294	38,286	20,562	2,543
1989 EST *	52,514	37,828	18,695	2,809
1990 EST **	58,143	38,284	19,000	3,060
1991 EST	59,075	38,421	19,125	3,089

* FY 1989 actual will not be known until November, 1990.

** Increase in FY 1990 due to increased weight limits effective 1 July 1989.

COAST GUARD SELECTED RESERVE RECRUITING

FISCAL YEAR	NON-PRIOR SERVICE	PRIOR SERVICE	TOTAL RECRUITS
1987	1,261	703	1,964
1988	796	513	1,309
1989	650	357	1,007
1990 (EST)	608	415	1,023
1991 (EST)	951	649	1,600

Note: "Non-prior Service" recruiting also includes direct appointment petty officer accessions (ages 26-35).

COAST GUARD SELECTED RESERVE REENLISTMENT RATES*

CATEGORY	FY 87	FY 88	FY 89	FY 90(EST)	FY 91(EST)
Non-prior Service	50%	50%	51%	50%	50%
Prior Service	76%	78%	77%	77%	77%
Overall Force	71%	70%	70%	71%	71%

Notes: * - "Reenlistment Rate" is the percentage of enlisted personnel ending their enlistment who actually reenlist.

FUNCTIONAL DISTRIBUTION OF RESERVE AUGMENTATION TRAINING

OPERATING FUNCTION	FY87	FY88	FY89(EST)	FY90(EST)	FY91(EST)
Boat Crews	21.0%	22.5%	15.7%	20.0%	20.0%
Port Safety	24.6%	23.5%	19.6%	20.0%	20.0%
Major Vessels	5.9%	5.8%	8.8%	10.0%	12.0%
Staff Support	12.0%	13.2%	10.3%	10.0%	8.0%
Other Field Ops	36.5%	35.0%	45.6%	40.0%	40.0%

RESERVE AUGMENTATION MANHOURS

FISCAL YEAR	MANHOURS
1987	1,768,900
1988	1,318,408
1989	1,908,172
1990 (EST)	1,912,000
1991 (EST)	2,007,000

COAST GUARD RESERVE YEAR-END STRENGTH SUMMARY

SELECTED RESERVE	TOTAL STRENGTH	OFFICERS	ENLISTED
SEPTEMBER 30, 1984	12,357	1,510	10,847
SEPTEMBER 30, 1985	12,590	1,557	11,033
SEPTEMBER 30, 1986	12,988	1,602	11,386
SEPTEMBER 30, 1987	13,287	1,640	11,647
SEPTEMBER 30, 1988	12,084	1,533	10,551
SEPTEMBER 30, 1989	12,042	1,598	10,444
SEPTEMBER 30, 1990 (EST)	12,100	1,627	10,473
SEPTEMBER 30, 1991 (EST)	12,700	1,687	11,013
READY RESERVE			
SEPTEMBER 30, 1984	17,841	2,238	15,603
SEPTEMBER 30, 1985	17,878	2,246	15,632
SEPTEMBER 30, 1986	17,696	2,345	15,351
SEPTEMBER 30, 1987	18,062	2,368	15,694
SEPTEMBER 30, 1988	17,646	2,144	15,502
SEPTEMBER 30, 1989	17,241	2,300	14,941
SEPTEMBER 30, 1990 (EST)	17,600	2,350	15,250
SEPTEMBER 30, 1991 (EST)	20,200	2,650	17,550

The Selected Reserve is composed of members who perform training duty with pay to prepare them for high-priority mobilization assignments. This group is maintained at a high level of readiness because it will be activated at the earliest stages of a national emergency.

The Ready Reserve is composed of both Selected Reserve and Individual Ready Reserve (IRR) personnel. Members of the IRR are also mobilization resources, but their lower priority assignments do not require participation in a continual program of peacetime training.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

STANDARD STAFFING FOR CUTTERS

TYPE/CLASS	OFF/WO/ENL	TOTAL CREW
WHEC 378 (POST FRAM)	16/04/158	178
WHEC 378 (CURRENT)	15/04/141	160
WMEC 270	11/03/87	101
WMEC 230	9/01/67	77
WMEC 213	8/01/70	79
WMEC 210A	9/01/66	76
WMEC 210B	9/01/63	73
WMEC 205	8/01/72	81
WMEC 180	7/01/44	52
WAGB 400	11/05/125	141
WAGB 290	7/01/67	75
WPB 110	2/00/14	16
WPB 95	1/00/13	14
WPB 82	1/00/9	10
WSES 110	1/00/16	17
WTGB 140	2/01/14	17
WYTL 65ABD	0/00/06	6
WYTL 65C	0/00/08	8
WLB 180	6/02/42	48
WLM 175	4/02/35	41
WLM 157	3/02/27	32
WLM 133	0/01/22	23
WLI 100	0/01/13	14
WLI 65	0/00/08	8
WLIC 160	0/01/13	14
WLIC 75A	0/00/13	13
WLR SUMAC	0/00/22	22
WLR 75	0/00/19	19
WLR 65	0/00/12	12

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

AIRCRAFT EMPLOYMENT HOURS

	1989 actual	1990 estimate	1991 estimate
Marine Inspection..............	68	60	60
Boating Safety.................	114	180	190
Search and Rescue..............	19,617	21,330	22,320
Domestic Icebreaking...........	92	80	80
Polar Operations...............	2,120	950	1,000
Marine Science Activities......	591	740	780
Enforcement of Laws and Treaties (ELT):			
Fish - Domestic...........	3,303	3,580	3,750
Fish - Foreign............	3,728	4,230	4,430
Drugs.....................	28,749	34,470	36,070
Other.....................	3,684	4,490	4,700
Total ELT.................	39,464	46,780	48,950
Military Operations............	2,077	2,720	2,850
Operational Training...........	52,730	55,940	58,540
Aids to Navigation.............	2,766	2,720	2,850
Radionavigation Aids...........	1,001	1,000	1,040
Port Safety and Security.......	1,637	1,690	1,770
Marine Environmental Response..	5,086	1,480	1,550
Test/Ferry.....................	5,830	7,320	7,660
Other/Misc.....................	7,861	8,190	8,580
Total.....................	141,054	151,200	158,220

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

AIRCRAFT OPERATING COSTS

FY 1989

TYPE	NO. OF AIRCRAFT: (OPERATIONAL/ SUPPORT)	COSTS	RESOURCE HOURS	COST PER HOUR
HC-130	27/ 4	$47.567M	24.8K	$1.9K
HH-3F/E	35/10	23.732M	22.6K	1.1K
HH-52A	0/ 0	4.221M	5.5K	0.8K
HH-65A	78/18	49.580M	42.9K	1.2K
HU-25A	22/ 3	22.558M	14.6K	1.5K
HU-25B	4/ 3	5.432M	3.5K	1.5K
HU-25C	8/ 1	7.952M	5.1K	1.5K
E-2C	2/ 0	2.807M	1.7K	1.6K
VC-4A	1/ 0	0.468M	0.5K	1.0K
VC-11A	1/ 0	0.677M	0.5K	1.4K
TOTALS	178/39	$164.958M	121.7K	$1.4K

PROJECTED FY 1990

HC-130	27/ 4	$49.404M	24.8K	$2.0K
HH-3F/E	35/ 7	26.181M	24.2K	1.1K
HH-65A	78/18	56.314M	46.9K	1.2K
HU-25A	22/ 3	28.354M	17.6K	1.6K
HU-25B	4/ 3	5.155M	3.2K	1.6K
HU-25C	8/ 1	10.310M	6.4K	1.6K
E-2C	4/ 0	6.684M	4.0K	1.7K
VC-4A	1/ 0	0.529M	0.5K	1.1K
VC-11A	1/ 0	0.725M	0.5K	1.5K
TOTALS	180/36	$183.656M	128.1K	$1.5K

PROJECTED FY 1991

HC-130	27/ 4	$51.363M	24.8K	$2.1K
HH-3F/E	32/10	28.097M	25.0K	1.1K
HH-60J	7/ 0	4.155M	3.2K	1.3K
HH-65A	80/16	61.050M	48.9K	1.3K
HU-25A	22/ 3	29.480M	17.6K	1.7K
HU-25B	4/ 3	5.360M	3.2K	1.7K
HU-25C	8/ 1	10.720M	6.4K	1.7K
E-2C	4/ 0	6.952M	4.0K	1.7K
VC-4A	1/ 0	0.550M	0.5K	1.1K
VC-11A	1/ 0	0.754M	0.5K	1.5K
TOTALS	186/37	$198.481M	134.1K	$1.5K

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

HH-65A IMPLEMENTATION PLAN

UNIT	DATE	NUMBER
ATC MOBILE (TRADIV PART 1)	FEB 85	6
NEW ORLEANS (PART 1)	JUL 85	3
BORINQUEN	OCT 85	4
MIAMI (PART 1)	NOV 85	8
NEW ORLEANS (PART 2)	APR 86	2
CORPUS CHRISTI	JUN 86	3
SAN DIEGO (PART 1)	AUG 86	3
BROOKLYN	SEP 86	5
MIAMI (PART 2)	NOV 86	1
SAN DIEGO (PART 2)	JAN 87	1
CAPE MAY	FEB 87	3
SAVANNAH (PART 1)	APR 87	4
BARBERS POINT	JUL 87	3
ASTORIA	SEP 87	3
LOS ANGELES	NOV 87	3
KODIAK	MAR 88	4
HUMBOLDT BAY	APR 88	3
PORT ANGELES	JUN 88	3
NORTH BEND	OCT 88	5
HOUSTON	MAR 89	4
DETROIT	MAY 89	3
CHICAGO	JUL 89	2
ATC MOBILE (POPDIV)	AUG 89	4
ATC MOBILE (PART 2)	AUG 89	-2
SAVANNAH (PART 2)	OCT 90	2
	TOTAL	80

NOTE: HH-65A implementation was completed in AUG 89. As training requirements decreased through the completion of HH-65A implementation, ATC Mobile was reduced by two operational allowances in AUG 89. Seventy-eight aircraft are currently operational allowances, with 18 aircraft for support/attrition spares. Two additional operational allowances will be added to Air Station Savannah from attrition spares in OCT 90 to provide a helicopter presence at Charleston, SC, in accordance with the Coast Guard Authorization Act of 1988.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD

HH-60J IMPLEMENTATION PLAN

UNIT	DATE		NUMBER
ATC MOBILE (PART 1)	SEP 90		4
ELIZABETH CITY	AUG 91		3
SAN FRANCISCO	NOV 91		3
CAPE COD	MAR 92		4
KODIAK	AUG 92		4
SITKA	OCT 92		3
CLEARWATER	APR 93		3
TRAVERSE CITY	JUN 93		3
ATC MOBILE (PART 2)	JUL 93		-1
		TOTAL	26

NOTE: When the HH-60J implementation is complete, ATC Mobile will be reduced by one operational allowance due to decreased training requirements. At that point, 26 aircraft will be operational allowances and 6 aircraft will be for depot level maintenance support.

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
BUDGET AUTHORITY/OBLIGATIONS/UNOBLIGATED BALANCES

(In thousands of dollars)

	NEW BUDGET AUTHORITY	OBLIGATIONS	UNOBLIGATED BALANCE
FY 1981.........	333,985	317,339	82,226
FY 1982[1/].......	684,000	449,769	317,352
FY 1983.........	400,000	435,491	290,861
FY 1984[2/].......	669,000	435,625	531,435
FY 1985.........	374,200	505,122	411,024
FY 1986[3/].......	218,806	359,862	273,206
FY 1987[4/].......	298,000	367,555	203,293
FY 1988.........	247,000	363,727	80,083
FY 1989[5/].......	435,800	379,587	135,407
FY 1990 (est.)..	444,164	450,000	129,571
FY 1991 (est.)..	419,536	438,000	111,107

1/ INCLUDES $300M FROM FISCAL YEAR 1982 DOD APPROPRIATIONS ACT (PUBLIC LAW 97-114).

2/ INCLUDES $300M FROM FISCAL YEAR 1984 DOD APPROPRIATIONS ACT (PUBLIC LAW 97-212).

3/ INCLUDES $9.344M GRAMM-RUDMAN-HOLLINGS DEFICIT ACT REDUCTION (PUBLIC LAW 99-177).

4/ INCLUDES $89M FROM THE OMNIBUS DRUG ACT CAPITAL FUNDING AS APPROPRIATED IN THE FY 1987 CONTINUING RESOLUTION (PUBLIC LAW 99-591).

5/ INCLUDES $100M FROM THE ANTI-DRUG ABUSE ACT OF 1988 AND $50.3M FROM THEL DOD MILITARY CONSTRUCTION APPROPRIATION FOR 1989.

POLLUTION FUND - RECEIPTS AND OBLIGATIONS
(IN DOLLARS)

	APPROPRIATION	RECEIPTS	OBLIGATIONS	END OF YEAR BALANCE
FY 71	20,000,000	47,675	288,255	19,759,420
FY 72		311,536	892,292	19,178,664
FY 73		634,981	9,439,340	10,374,305
FY 74		2,358,081	4,377,304	8,355,082
FY 75		1,832,090	7,806,995	2,380,177
FY 76	10,000,000	3,650,788	15,318,823	712,142
FY 77	5,000,000*	6,888,149	8,643,653	3,956,638
FY 78	10,000,000	7,144,493	9,922,986	11,178,145
FY 79	-3,500,000**			
	13,000,000	5,105,112	18,741,710	7,041,547
FY 80	30,500,000	5,473,096	25,197,136	17,817,507
FY 81	15,000,000	7,099,910	19,745,356	20,172,061
FY 82	...	8,263,191	3,237,490	25,197,762
FY 83	-9,000,000**	7,256,635	2,458,534	20,995,863
FY 84	...	4,792,572	3,965,934	21,822,501
FY 85	...	7,389,956	4,447,173	24,765,284
FY 86	-10,000,000***	3,984,268	9,422,180	9,327,372
FY 87	...	4,804,593	3,924,246	10,207,473
FY 88	-6,687,519***	5,208,027	1,429,278	7,298,949
FY 89	...	30,980,218	35,508,608	2,770,559
FY 90 (EST)	...	55,700,000	44,500,000	13,970,599
FY 91 (EST)	...	5,700,000	15,000,000	4,670,559
TOTAL	74,312,481	174,625,371	244,267,293	4,670,559

* TRANSFERRED FROM AC&I
** TRANSFERRED TO AC&I
*** TRANSFERRED TO OE

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1990 PROJECT MILESTONES

VESSELS:	DESIGN STATUS % COMPLETE	COMPLETION DATE	IFB/RFP ISSUED	CONSTRUCTION/PROCUREMENT START/AWARD DATE	COMPLETION DATE
A. ACQUIRE VESSELS & EQUIPMENT:					
1. 110 FOOT PATROL BOATS	100	N/A	11/86	02/87	09/92
2. POLAR ICEBREAKER REPLACEMENT	100	04/89	06/90	04/91	04/95
3. REPLACEMENT CUTTER BOATS	N/A	N/A	06/90	09/90	12/95
4. CONSTRUCTION OF ATON BARGES - NINTH DISTRICT	100	01/90	04/89	02/90	04/91
5. SURVEY AND DESIGN - BOATS AND CUTTERS	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
6. BUOY TENDER (WLB) CAPABILITY REPLACEMENT	0	06/92	02/90	08/91	06/03
7. ACQUISITION OF REPLACEMENT MOTOR LIFEBOAT CAPABILITY	75	04/90	10/87	11/88	11/97
8. ACQUISITION OF REPLACEMENT AIDS TO NAVIGATION (ATON) RIVER BARGES - SECOND DISTRICT	100	07/86	06/86	01/87	04/90
9. BUOY TENDER (WLM) CAPABILITY REPLACEMENT	0	06/93	08/91	04/92	06/03
B. REPAIR, RENOVATE OR IMPROVE EXISTING VESSELS AND SMALL BOATS:					
1. 210 FOOT MEDIUM ENDURANCE CUTTER (WMEC) MAJOR MAINTENANCE AVAILABLITY (MMA)	95	06/91	12/85	10/86	11/96
2. 378 FOOT HIGH ENDURANCE CUTTER (WHEC) FLEET RENOVATION & MODERNIZATION (FRAM)	100	03/84	06/85	10/85	09/92
3. 378 FOOT HIGH ENDURANCE CUTTER (WHEC) WEAPONS SYSTEMS MODERNIZATION - PHASE I	95	03/89	04/89	09/89	06/94
4. SERVICE LIFEE EXTENSION PROGRAM (SLEP)	100	11/88	10/87	01/88	11/92
5. POLAR CLASS ICEBREAKER RELIABILITY IMPROVEMENT PROJECT - PH I	50	07/90	09/90	12/90	VARIOUS
AIRCRAFT:					
1. HH-60 (MEDIUM RANGE RECOVERY (MRR)) HELICOPTER	100	N/A	N/A	09/86	09/93
2. HH-65A HELICOPTER ENGINE AVAILABILITY IMPROVEMENT	80	09/89	N/A	09/87	06/91
3. TALON SYSTEM FOR SHIPBOARD HELICOPTER TIEDOWN	100	N/A	05/88	08/88	06/94
4. HU-25 SPARE PARTS SHORTFALL	N/A	N/A	N/A	10/89	09/90
5. HU-25, ATF-3 ENGINE IMPROVEMENTS	40	07/91	N/A	10/89	09/92
6. HH-65 SUPPLEMENTAL SPARES PROVISIONING	N/A	N/A	N/A	10/89	09/90
7. C-130 AEW RADAR	N/A	N/A	N/A	12/89	07/91

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1990 PROJECT MILESTONES

	DESIGN STATUS			CONSTRUCTION/PROCUREMENT	
	% COMPLETE	COMPLETION DATE	IFB ISSUED	START/AWARD DATE	COMPLETION DATE
COMMAND, CONTROL, AND COMMUNICATIONS AND RELATED SYSTEMS:					
1. H-130 FOREWARD LOOKING AIRBORNE RADAR (FLAR)	100	07/88	11/86	11/86	06/93
2. REPLACE AIRCRAFT REPAIR AND SUPPORT CENTER (AR&SC) COMPUTER SYSTEMS	100	01/88	11/88	08/89	12/91
3. DISTRIBUTED COMPUTING SYSTEM - PH II	35	09/90	N/A	N/A	N/A
4. ESTABLISH SARSAT LOCAL USER TERMINALS (LUTS)	100	N/A	02/90	09/90	12/92
5. GLOBAL POSITIONING SYSTEM INSTALLATION	100	N/A	N/A	10/89	12/93
6. ESTABLISH PORTABLE INTELLIGENCE COLLECTION SYSTEM	5-10*	10/89	N/A	N/A	08/90
SHORE FACILITIES AND AIDS TO NAVIGATION:					
A. SHORE - GENERAL:					
1. MINOR AC&I SHORE CONSTRUCTION	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
2. UNDERGROUND STORAGE TANK (UST) CLEAN-UP PROGRAM	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
3. SURVEY AND DESIGN - SHORE FACILITIES	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
B. SHORE - AIR STATIONS:					
1. SOUTHEAST U.S. AIR INTERDICTION SHORE FACILITIES	8	TBD	TBD	TBD	TBD
C. SHORE - SUPPLY CENTERS/SUPPORT CENTERS/YARD:					
1. SEATTLE, WA - SUPPORT CENTER RENOVATIONS - PIER 35 CONSTRUCTION - PH II	30	06/90	07/90	09/90	09/91
2. ELIZABETH CITY, NC - SUPPORT CENTER CLINIC REPLACEMENT	10	06/90	07/90	09/90	07/91
3. KODIAK, AK - SUPPORT CENTER FUEL FARM CONTAINMENT CONSTRUCTION	95	12/89	01/90	03/90	07/90

*Presently examining Department of Defense sources for possible compatible or convertible resources.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1990 PROJECT MILESTONES

SHORE FACILITIES AND AIDS TO NAVIGATION (CONT'D):

	DESIGN STATUS			CONSTRUCTION/PROCUREMENT	
	% COMPLETE	COMPLETION DATE	IFB ISSUED	START/AWARD DATE	COMPLETION DATE
D. SHORE - TRAINING FACILITIES:					
1. PETALUMA, CA - TRAINING CENTER - CONSTRUCT REPLACEMENT WATERLINE	35	06/90	07/90	08/90	06/91
2. CAPE MAY, NJ - TRAINING CENTER BEACH EROSION CONTROL	100	06/88	08/88	11/88	10/89
E. SHORE - PERSONNEL SUPPORT FACILITIES:					
1. PUBLIC FAMILY QUARTERS	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
2. KETCHIKAN, AK - BASE RENOVATION - PH II	20	08/89	11/89	12/89	05/91
F. SHORE - GROUPS/BASES/STATIONS/MSO'S:					
1. PALM BEACH, FL - CONSTRUCT NEW STATION LAKE WORTH INLET	15	05/90	06/90	08/90	02/92
2. RODANTHE, NC - REPLACE STATION OREGAN INLET	60	01/90	02/90	04/90	04/91
3. SOUTHPORT, NC - REBUILD STATION OAK ISLAND	35	05/90	05/90	08/90	09/91
4. GREENVILLE, MS - MOORINGS RELOCATION	40	06/90	07/90	09/90	TBD
5. EAST TAWAS, MI - REBUILD STATION	90	12/89	03/90	04/90	08/91
G. AIDS TO NAVIGATION FACILITIES:					
1. WATERWAYS AIDS TO NAVIGATION PROJECTS	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
2. TACOMA VESSEL TRAFFICE SERVICE	0	08/90	10/90	02/91	05/92

Note: All dates are estimates and used for planning purposes only.
(TBD = To Be Developed)

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1991 PROJECT MILESTONES

	DESIGN STATUS			CONSTRUCTION/PROCUREMENT	
	% COMPLETE	COMPLETION DATE	IFB/RFP ISSUED	START/AWARD DATE	COMPLETION DATE
VESSELS:					
A. ACQUIRE VESSELS & EQUIPMENT:					
1. WLB CAPABILITIES REPLACEMENT	0	06/92	02/90	08/91	06/95
2. CONSTRUCTION OF ATON BARGES - NINTH DISTRICT	100	01/90	08/89	04/90	10/91
3. SURVEY AND DESIGN - BOATS AND CUTTERS	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
4. BUOY TENDER (WLM) CAPABILITY REPLACEMENT	75	04/90	10/87	11/88	11/97
7. ACQUISITION OF REPLACEMENT MOTOR LIFEBOAT CAPABILITY	75	04/90	10/87	11/88	11/97
8. HERITAGE CLASS PATROL BOAT PROTOTYPE	15	07/91	N/A	03/89	08/91
9. BUOY BOAT REPLACEMENT	50	10/90	03/91	09/91	09/95
10. TACTICAL INFORMATION SYSTEM	10	09/93	N/A	N/A	N/A
B. REPAIR, RENOVATE OR IMPROVE EXISTING VESSELS AND SMALL BOATS:					
1. 210 FOOT MEDIUM ENDURANCE CUTTER (WMEC) MAJOR MAINTENANCE AVAILABLITY (MMA)	95	06/91	12/85	10/84	11/96
2. 378 FOOT HIGH ENDURANCE CUTTER (WHEC) FLEET RENOVATION & MODERNIZATION (FRAM)	100	03/84	06/85	10/85	09/92
3. 378 FOOT HIGH ENDURANCE CUTTER (WHEC) WEAPONS SYSTEMS MODERNIZATION - PHASE I	95	03/89	04/89	09/89	06/94
4. SERVICE LIFEE EXTENSION PROGRAM (SLEP)	100	11/88	10/97	01/80	11/92
5. POLAR CLASS ICEBREAKER RELIABILITY IMPROVEMENT PROJECT - PH I	5	09/90	04/91	09/91	09/93
AIRCRAFT:					
1. HH-60 (MEDIUM RANGE RECOVERY (MRR)) HELICOPTER	100	N/A	N/A	09/86	04/93
2. HH-65A HELICOPTER ENGINE AVAILABILITY IMPROVEMENT	80	09/89	N/A	09/91	06/96
3. TALON SYSTEM FOR SHIPBOARD HELICOPTER TIEDOWN	100	N/A	05/88	08/88	06/94
4. HU-25, ATF-3 ENGINE IMPROVEMENTS	40	09/91	N/A	10/89	09/92
5. HH-65 SUPPLEMENTAL SPARES PROVISIONING	N/A	N/A	N/A	10/90	09/91
6. OPBAT HELICOPTER REPLACEMENT	N/A	N/A	TBD	TBD	TBD
7. COCKPIT VOICE/FLIGHT DATA RECORDER	0	04/93	01/92	10/92	10/97

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1991 PROJECT MILESTONES

	DESIGN STATUS			CONSTRUCTION/PROCUREMENT	
	% COMPLETE	COMPLETION DATE	IFB ISSUED	START/AWARD DATE	COMPLETION DATE
COMMAND, CONTROL, AND COMMUNICATIONS AND RELATED SYSTEMS:					
1. REPLACE AIRCRAFT REPAIR AND SUPPORT CENTER (AR&SC) COMPUTER SYSTEMS	100	01/88	06/89	10/89	10/91
2. GLOBAL POSITIONING SYSTEM INSTALLATION	100	N/A	08/89	02/90	04/98
3. CONFIGURATION MANAGEMENT	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
4. UPGRADE NORPAC LORAN STATIONS	0	TBD	TBD	TBD	TBD
5. MARINE SAFETY INFORMATION SYSTEM II	0	09/96	04/91	07/91	09/96
6. COMPUTER FOR SERVICE RECORD AUTOMATION	0	TBD	TBD	TBD	TBD
7. VESSEL I.D. SYSTEM	0	01/94	02/91	TBD	01/94
8. LEIS/SEER IMPROVEMENTS	0	N/A	N/A	TBD	04/94
9. PMIS/JUMPS II	0	09/91	11/91	TBD	11/94
SHORE FACILITIES AND AIDS TO NAVIGATION:					
A. SHORE - GENERAL:					
1. MINOR AC&I SHORE CONSTRUCTION	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
2. RELOCATE INTELLIGENCE COORDINATION CENTER TO NAVAL INTELLIGENCE COMMAND FACILITY	60	08/90	10/90	01/91	12/92
3. NATIONAL STRIKE FORCE EQUIPMENT	0	09/91	TBD	TBD	TBD
4. SURVEY AND DESIGN - SHORE FACILITIES	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
B. SHORE - AIR STATIONS:					
1. KODIAK, AK - AIR STATION RAMP-HANGAR PAVEMENT	35	03/90	11/90	01/91	11/91
2. CHARLESTON, NC - ESTABLISH AIR FACILITY	0	TBD	TBD	TBD	TBD
C. SHORE - SUPPLY CENTERS/SUPPORT CENTERS/YARD:					
1. ELIZABETH CITY, NC - SUPPORT CENTER HH-60J TRAINING FACILITY	10	08/90	10/91	11/90	03/92
2. KODIAK, AK - SUPPORT CENTER FIRE STATION	0	09/90	12/90	02/91	05/92
3. KODIAK, AK - NEMETZ PARK ROADS AND GROUNDS IMPROVEMENTS	25	05/90	09/90	10/90	04/92
4. BALTIMORE, MD - COAST GUARD YARD - UPGRADE MECHANICAL SHOPS	0	10/90	12/90	01/91	07/92
5. BALTIMORE, MD - REPLACE YARD PORTAL CRANE	N/A	N/A	TBD	TBD	TBD
6. NEW YORK, NY - SUPPORT CENTER HEALTH CARE FACILITY	0	TBD	TBD	TBD	TBD

*Presently examining Department of Defense sources for possible compatible or convertible resources.

DEPARTMENT OF TRANSPORTATION
COAST GUARD
ACQUISITION, CONSTRUCTION, AND IMPROVEMENTS
ESTIMATED FY 1991 PROJECT MILESTONES

SHORE FACILITIES AND AIDS TO NAVIGATION (CONT'D):

	DESIGN STATUS			CONSTRUCTION/PROCUREMENT	
	% COMPLETE	COMPLETION DATE	IFB ISSUED	START/AWARD DATE	COMPLETION DATE
D. SHORE - TRAINING FACILITIES:					
1. MOBILE, AL - AVIATION TRAINING CENTER HH-60J SIMULATOR FACILITY	0	08/90	09/90	11/90	01/92
2. CAPE MAY, NJ - TRAINING CENTER BEACH EROSION CONTROL	100	06/88	08/88	11/88	10/89
E. SHORE - PERSONNEL SUPPORT FACILITIES:					
1. PUBLIC FAMILY QUARTERS	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS
F. SHORE - GROUPS/BASES/STATIONS/MSO'S:					
1. BURLINGTON, VT - REPLACE STATION BURLINGTON	0	01/91	04/91	TBD	TBD
2. NEW SMYRNA BEACH, FL - REHABILITATE STATION PONCE DE LEON INLET	0	08/90	09/90	11/90	11/91
3. EAST TAWAS, MI - REBUILD STATION TAWAS - PH II	0	TBD	TBD	TBD	TBD
4. CHINCOTEAGUE, VA - GROUP EASTERN SHORE RENOVATION - PHASE III	0	10/90	11/90	01/91	01/92
5. KEY WEST, FL - CONSTRUCT VESSEL SUPPORT BUILDING	0	10/90	11/90	01/91	01/92
6. ILWACO, WA - RENOVATE CAPE DISAPPOINTMENT FACILITIES	0	03/91	04/91	TBD	TBD
7. KETCHIKAN, AK - BASE KETCHIKAN STORAGE FACILITY	0	TBD	TBD	TBD	TBD
G. AIDS TO NAVIGATION FACILITIES:					
1. WATERWAYS AIDS TO NAVIGATION PROJECTS	VARIOUS	VARIOUS	VARIOUS	VARIOUS	VARIOUS

Note: All dates are estimates and used for planning purposes only.
(TBD = To Be Developed)

U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1991

FEDERAL HIGHWAY ADMINISTRATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FISCAL YEAR 1991 CONGRESSIONAL BUDGET SUBMISSION

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DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

INTRODUCTION

The Budget Estimates for the Federal Highway Administration (FHWA) have been developed within the overall framework of the Surface Transportation and Uniform Assistance Act (STURAA) of 1987, Public Law 100-17, which became law on April 2, 1987. In the sections of the budget which follow this introduction, individual appropriation accounts are discussed and justified in both tabular and narrative form. A summary table of requirements is included as a part of the introduction to aid in giving perspective to the Federal Highway Administration's total budget estimate for FY 1991, and FY 1990 implementation of P.L. 101-164 (the Department of Transportation and Related Agencies Appropriations Act, 1990 with amounts adjusted by the Budget Reconciliation Act P.L. 101-239).

Highlighted below are some specific elements of particular importance in reviewing and considering the various requests.

1. Magnitude of the Estimate

The philosophy underlying the proposal is to provide for a highway program that provides necessary funding for our nation's roads and bridges consistent with both the need to constrain Federal spending. The 1991 Budget provides enough funding to cover the Federal share of the cost to maintain the physical condition of bridges and highways of national significence and to continue the construction of the Interstate System.

Obligations

Program level (obligations) is the most significant financial indicator of program action and direction being proposed for the budget year.

In total, an obligation level of $13.346 billion is estimated for all FHWA programs in FY 1991. This compares with an estimated FY 1990 level of $14.407 billion.

Budget Authority

The budget authority included for FY 1991 totals $14.221 billion compared to $15.278 billion and $14.379 billion for FY 1990 and FY 1989 respectively. Generally, budget authority levels are based on authorizations contained in the STURAA, plus emergency authority contained in P.L. 101-130.

Outlays

It is estimated that FHWA outlays will approximate $13.986 billion in FY 1991 compared to actual $13.485 billion in FY 1989 and estimated outlays of $13.911 billion in FY 1990.

2. Federal-Aid Highways Obligation Limitation/Appropriation Language/General Provision

Obligation Limitation

An FY 1991 obligation limitation of $12.013 billion is proposed. The obligation limitations in FY 1989 and FY 1990 are $12.000 billion and $12.210 billion, respectively.

Appropriation Language/General Provision

The budget proposes that the following general provisions points pertaining to Federal-aid highways be contained in the FY 1991 Appropriation Act: (1) obligations for all programs would be limited to $12.013 billion, exempting funds for Emergency Relief, Minimum Allocation and the Alaska Highway programs; (2) distribution of the obligation limitation to the States by a formula based upon both apportionments and allocations; (3) for the first quarter of FY 1991, no State can obligate more than 35 percent of its share of limitation, and the share of obligations by all the States cannot be more than 25 percent of the National obligation limitation; (4) a provision to prevent lapse of non-Interstate authority; (5) redistribution of unusable unobligated limitation after August 1, 1991, with priority given to States having large unobligated balances of apportioned funds and to States which have experienced substantial proportional reductions in their apportionments and allocations because of statutory changes in certain highway legislation; (6) a provision excluding from distribution of obligation limitation (a) administrative expenses, (b) Federal lands highways, (c) studies authorized by section 158, 159, 164, 165 and 167 of Public Law 100-17, and (d) the Strategic Highway Research Program; and (7) a general provision which would eliminate any bonus obligations from the total obligation.

The general provisions would also be modified to allow use of Interstate substitution funds for mass transit interstate substitute projects.

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3. Personnel Resources

The personnel resources contained in the budget are summarized as follows:

	Actual 1989	Estimate 1990	Estimate 1991
Positions	3,512	3,697	3,697
Full-Time Equivalent workyears (Subject to Ceiling)	3,612	3,702	3,794

4. Other Highlights

— An appropriation of $40.7 million is requested for Motor Carrier Safety in FY 1990, an increase of $7.4 million above the FY 1990 post-sequester enacted level. This change results primarily from annualization of 1990 new positions, pay act increases, merit pay and within-grade increases, and inflation; enhancements for ADP support and equipment; and increased funds for Motor Carrier Safety Research.

— For Motor Carrier Safety Grants, an obligation limitation of $60.0 million is proposed. This is equal to the contract authority for the program enacted in the 1986 Commercial Motor Vehicle Safety Act for FY 1991.

— A limitation of $264.47 million on General Operating Expenses (GOE) is being requested in FY 1991, an increase of $31.2 million above the FY 1990 amount. More than half of this increase results from enhanced funding for FHWA's restructured "Highway Science and Technology" initiative. This initiative, which totals $44.1 million includes $13 million for development of intelligent vehicle highway systems to address congestion. The budget also contains $3 million for an advanced driver simulator which is being developed jointly with NHTSA ($3 million was appropriated to NHTSA in 1990 for the simulator). Other changes result primarily from mandatory adjustments to base necessary to maintain the program. These changes result from pay act increases merit pay and within-grades, an extra compensable day in FY 1991, and inflation. Other amounts include funds for a highway use tax evasion project ($2.0 million), International Transportation activities ($25 thousand) and Highway Usage Data ($500 thousand).

— An obligation limitation of $10.0 million is requested for the Highway Related Safety Grants program, which will help States to implement and maintain highway-related safety standards.

— A $5.0 appropriation for University Transportation Centers is requested for FY 1991. This program, which was initially authorized by section 21(i)(2) of the Urban Mass Transportation Act, provides the academic highway community access to state-of- the art technology.

— There is no separate request for Highway Safety Research and Development, which the Budget addresses as an activity of the Research and Development Program within General Operating Expenses. In FY 1991, we are propose to fund this program from administrative "take-downs" from the Federal-aid Highway authorizations instead of via a separate trust fund appropriation.

— Where the Federal share payable for any highway or bridge project is currently 100 percent, proposed language would reduce the Federal share to 80 percent with the exception of Emergency Relief. This language, if enacted, would affect a number of FHWA accounts.

5. Consulting Services, and Working Capital Fund Charges, and Computer System Security

As a result of Section 347 of P.L. 100-457, the FY 1989 Department of Transportation Appropriations Act, OMB Bulletin 89-04 requires that each Federal agency identify in its Budget Estimate consulting services amounts by account, and provide narrative justification. FHWA employs no consultants and our FY 1991 estimates contain no funds for consulting services.

The House Report for P.L. 97-102, the FY 1982 DOT Appropriations Act, directed that Budget Estimates specify amounts for payment to the Office of the Secretary Working Capital Fund. For FY 1991, we estimate that FHWA will reimburse the Office of the Secretary Working Capital Fund a total of $23.9 million; this includes basic support services separately identified as well as other items such as Washington Headquarters Rental Payments to GSA.

No funds are specifically requested to implement computer systems security measures, as defined by OMB Circular A-130. FHWA already has implemented the security requirement of that OMB Circular with funds contained in the General Operating Expenses limitation.

Summary of Requirements

A summary table displaying key financial and personnel data follows this page.

DEPARTMENT OF TRANSPORTATION

FEDERAL HIGHWAY ADMINISTRATION

SUMMARY OF REQUIREMENTS

(Dollars in thousands)

	F.Y. 1989 Actual	F.Y. 1990 Adjusted	F.Y. 1991 Estimated
LIMITATION ON GENERAL OPERATING EXPENSES			
Limitation	[217,350]	[233,298]	[264,470]
Positions	2,621	2,621	2,621
Full-time equivalents	2,646	2,675	2,675
MOTOR CARRIER SAFETY(GENERAL FUNDS)			
Budget Authority (Appropriation)	27,000	33,297	40,719
Obligations	28,044	33,582	40,719
Outlays	24,098	33,429	41,613
Positions	448	633	633
Full-time equivalents	448	510	602
HIGHWAY SAFETY RESEARCH AND DEVELOPMENT			
Budget Authority (Appropriation)	6,090	6,062	
Obligations	5,047	7,209	
Outlays	10,495	5,530	5,374
HIGHWAY-RELATED SAFETY GRANTS			
(LIQUIDATION OF CONTRACT AUTHORIZATION)			
Contract Authority	10,000	9,060	10,000
Obligation Limitation	[9,405]	[9,377]	[10,000]
Obligations	9,405	9,377	10,000
Outlays	10,268	9,314	10,579
Liquidating Cash	9,900	9,377	10,000
RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION			
PROJECTS(Sec. 163) (18 CITIES)			
Budget Authority (Appropriation)	2,520	4,948	
Obligations	4,019	7,637	7,637
Outlays	7,797	2,484	4,689

	F.Y.1989 Actual	F.Y.1990 Adjusted	F.Y.1991 Estimated
MISCELLANEOUS APPROPRIATIONS			
Budget Authority (Appropriation)	55,916	146,090	...
Obligations	54,906	282,845	...
Outlays	64,243	93,607	104,748
UNIVERSITY TRANSPORTATION CENTERS			
Budget Authority (Appropriation)		4,985	5,000
Obligations		4,985	5,000
Outlays		997	2,595
FEDERAL-AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION)			
Contract Authority	14,119,012	14,924,390	14,101,139
Obligation Limitation	[12,000,000]	[12,210,000]	[12,013,000]
Obligations	13,507,474	13,854,979	13,204,187
Outlays	13,306,421	13,622,900	13,651,400
Liquidating Cash	12,700,000	13,619,020	13,770,000
Positions	236	239	239
Full-time equivalents	276	275	277
RIGHT-OF-WAY REVOLVING FUND (LIQUIDATION OF CONTRACT AUTHORIZATION)			
Obligations	46,000		
Outlays	-11,241		
Loan Limitation	[46,000]	[42,373]	[47,850]
TRUST FUND SHARE OF OTHER HIGHWAY PROG			
Budget Authority (Appropriation)	5,040	9,897	
Obligations	8,038	15,200	15,126
Outlays	1,045	12,654	15,100

	F.Y.1989 Actual	F.Y.1990 Adjusted	F.Y.1991 Estimated
MOTOR CARRIER SAFETY GRANTS			
Contract Authority	60,009	59,160	60,000
Obligation Limitation	[60,000]	[60,019]	[60,000]
Obligations	59,955	60,019	60,000
Outlays	53,560	62,510	62,540
Liquidating Cash	50,000	51,844	63,000
MISCELLANEOUS TRUST FUNDS			
Budget Authority (Appropriation)	17,115	3,737	3,643
Obligations	7,608	13,803	3,643
Outlays	2,030	7,786	8,177
Liquidating Cash	...	...	...
Positions	15	15	15
Full-time equivalents	12	16	16
BALTIMORE-WASHINGTON PARKWAY			
Budget Authority (Appropriation)	12,825	11,964	...
Obligations	15,184	27,202	...
Outlays	4,971	11,641	13,355
MISCELLANEOUS HIGHWAY TRUST FUNDS			
Budget Authority (Appropriation)	63,123	63,171	...
Obligations	21,558	169,925	...
Outlays	10,345	48,377	65,680
GRAND TOTAL-FHWA			
Contract Authority/Budget Authority	14,378,631	15,277,561	14,220,501
Obligations	13,767,329	14,406,762	13,346,312
Outlays	13,484,832	13,911,309	13,985,850
Liquidating Cash	13,460,487	12,760,905	13,722,000
Positions:			
Direct	3,320	3,508	3,508
Financed from transfer and reimbursable accounts	192	189	189
Total Positions	3.512	3,697	3,697
Full-time Equivalents			
Direct	3,382	3,476	3,570
Financed from transfer and reimbursable accounts	230	226	224
Total,Subject to Ceiling	3,612	3,702	3,794
Not subject to Ceiling	60	83	83
Total Full-time Equivalents	3,672	3,785	3,877

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DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

Necessary expenses for administration, operation, and research of the Federal Highway Administration, not to exceed [$234,000,000] $264,470,000 shall be paid in accordance with law, from appropriations made available by this Act to the Federal Highway Administration together with advances and reimbursements received by the Federal Highway Administration: Provided, That not to exceed [$41,080,000] $58,535,000 of the amount provided herein shall remain available until expended: Provided further, That, notwithstanding any other provision of law, there may be credited to this account funds received from States, counties, municipalities, other public authorities, and private sources, for training expenses incurred for non-Federal employees.

(Department of Transportation and Related Agencies Appropriation Act, 1990.)

GENERAL OPERATING EXPENSES
FY 1991 CONGRESSIONAL BUDGET SUBMISSION

1/22/90

	FY 1990 APPN.	REALIGN PROGRAMS	REALIGNED FY 1990 APPN.	ADJUSTMENTS TO BASE AND BUILT-IN CHANGES PAY ACT	MERIT PAY & WIG'S	EXTRA COMP. DAY	INFLATION	FY 1990 ADJUSTED BASE	PROGRAM CHANGES	TOTAL FY 1991 REQUEST
PERSONNEL RESOURCES										
Full-time Permanent Positions	2,621		2,621					2,621		2,621
Full-time Permanent FTE's	2,560		2,560					2,560		2,560
OTFTP FTE's Ceiling	115		115					115		115
Non-Ceiling	75		75					75		75
FINANCIAL RESOURCES										
Salaries and Benefits	137,417		137,417	5,525	708	482		144,132		144,132
Travel	7,297		7,297				263	7,560		7,560
Transportation	1,450		1,450				52	1,502		1,502
Rent, Comm., & Util.	20,686	0	20,686				745	21,431		21,431
Std. Level User Charges	13,739		13,739				495	14,234		14,234
Other	6,947		6,947				250	7,197		7,197
Printing	1,272		1,272				46	1,318		1,318
Other Services	61,264	0	61,264				759	62,023	20,020	82,043
Contract Programs	35,857	4,320	40,177	0	0	0	0	40,177	19,719	59,896
R&D Highways	13,240	(13,240)	0					0		0
Highway Safety R&D	4,870	(4,870)	0					0		0
Hwy. Science and Tech:	0	(26,119)	(26,119)	0				(26,119)	(17,952)	(44,071)
Hwy. Res., Devel., & Tech	0	18,736	18,736					18,736	7,624	26,360
Intelligent Veh./Hwy. Sys.	0	2,333	2,333					2,333	10,667	13,000
National Hwy. Institute	0	1,361	1,361					1,361	0	1,361
Rural Tech. Assist. Prog	0	3,689	3,689					3,689	(339)	3,350
Minority Bus. Enterprise	5,600		5,600					5,600	2,300	7,900
Interjur. Trucking Prog.	150		150					150	0	150
Truck & Commodity Survey	249		249					249	1	250
Rural Transp. Assist.	3,689	(3,689)	0					0	0	0
Trucking Education	499		499					499	(499)	0
Hwy. Use Tax Evasion Proj.	500		500					500	1,500	2,000
International Transp.	0		0					0	25	25
Hwy. Usage Data Activities	0		0					0	500	500
Central DFD Laboratory	45		45					45	(45)	0
Western DFD Laboratory	434		434					434	(434)	0
Feas. Study, Wichita	100		100					100	(100)	0
Nat'l Scenic Biways	997		997					997	(997)	0
I-80/I-94 Congestion	499		499					499	(499)	0
Univ. Transportation Centers	4,985		4,985					4,985	15	5,000
Other Programs	25,407	(4,320)	21,087				759	21,846	301	22,147
National Hwy. Institute	1,361	(1,361)	0					0		0
Demonstration Projects	2,959	(2,959)	0					0		0
Other	21,087		21,087				759	21,846	301	22,147
Supplies	1,574		1,574				57	1,631		1,631
Equipment	2,338		2,338				84	2,422	2,432	4,854
Total Limitation	233,298	0	233,298	5,525	708	482	2,005	242,018	22,452	264,470
NON-ADD										
WCF (included above)	(19,121)		(19,121)					(19,121)	(841)	(19,962)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

The Limitation on General Operating Expenses controls spending for virtually all of the salaries, expenses, and research and development programs of the Federal Highway Administration. The resources for this account are derived solely from reimbursements and transfers from other accounts.

An administrative takedown from Federal-aid Highways, combined with a transfer from Highway-Related Safety Grants and the entire appropriation for University Transportation Centers, will fund the proposed General Operating Expenses in FY 1991.

The following table summarizes the source of funding for the Limitation on General Operating Expenses in FY 1990 and FY 1991.

	(In thousands of dollars)	
	Funds Available for FY 1990	Funds Requested for FY 1991
Transfers from:		
Federal-Aid Highways	$223,170	$259,370
Highway Safety R&D	5,045	...
University Transp. Centers	4,985	5,000
Highway-Related Safety Grants	98	100
Limitation on General Operating Expenses	233,298	264,470
Unobligated Carryover:		
R&D Highways	719	...
Highway Safety R&D	582	...
Skill Training	263	...
Minority Bus. Enter.	1,245	...
Bonding Demo.	12	...
Interjur. Trucking Prog.	260	...
Rural Transp. Assist.	653	...
Commodity Flow	154	...
Southwestern Indiana Study	5	...
Great River Bridge Study	79	...
Quad Cities Intermodal	93	...
U.S. Hwy. 171 Study	65	...
Historical Artillery Stables	162	...
Va. TSM Study	225	...
WV Feasibility Study	22	...
CDL Trucking Study	250	...
Rock Salt Study	225	...
Avenue of the Saints	6	...
Total Obligations	$238,318	$264,470

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

LIMITATION ON GENERAL OPERATING EXPENSES

FINANCIAL REQUIREMENTS

A Limitation on General Operating Expenses of $264.470 million is being requested for FY 1991 which is an increase of $31.172 million over the $233.298 million appropriated for FY 1990. The increase consists of $8.720 million required to cover the cost of inflation and other mandatory expenses items and $22.452 million for program expansion.

	($000)
Limitation on General Operating Expenses, FY 1990	**$233,298**
Adjustments to Base and Built-in Changes	8,720
Pay Act	5,525
Merit Pay & WIG's	708
Extra Compensable Day	482
Inflation	2,005
Program Changes	22,452
Other Services:	20,020
Contract Programs	19,719
Highway Sciences and Technology:	18,840
Hwy. Res., Devel. & Tech.	8,512
Advanced Vehicle/Highway	10,667
Rural Tech. Assist. Program	-339
Minority Bus. Enterprise	1,346
Interjur. Trucking Program	24
Truck and Commodity Survey	43
Trucking Education	-499
Hwy. Use Tax Evasion Project	1,500
International Transp.	25
Hwy. Usage Data Activities	500
Central DFD Laboratory	-45
Western DFD Laboratory	-434
Feasibility Study, Wichita	-100
National Scenic Biways	-997
I-80/I-94 Congestion	-499
University Transportation Centers	15
"Other" Other Services	301
Equipment	2,432
Total Limitation	**$264,470**

LIMITATION ON GENERAL OPERATING EXPENSES

NARRATIVE JUSTIFICATION

ADJUSTMENTS TO BASE AND BUILT-IN CHANGES

Pay Act $5,525

This increase includes $4.076 million to cover FY 1991 pay costs. An additional $1.449 million is reflected to provide annualization of the pay act in FY 1990.

Merit Pay and Within Grades 708

This amount is necessary to cover the costs associated with advances in-grade for General Merit (GM) employees and for within-grade step increases under the Performance Management and Recognition System (PMRS). Under Office of Personnel Management regulations, these increases must be granted to those employees who maintain a satisfactory or higher performance rating and are therefore considered mandatory increases.

Extra Compensable Day 482

The amount required to pay salaries and benefits is computed based on, among other important factors such as salary rates, the number of compensable workdays in any given fiscal year. The amounts included in the FY 1990 budget provided salaries and benefits for only 260 workdays whereas FY 1991 requires funds for 261 compensable days; therefore, we are requesting additional funds to cover the mandatory costs for this extra day.

Inflation 2,005

For all "other objects" of expenses we have assumed a 3.6% inflation increase for FY 1991 over FY 1990.

PROGRAM CHANGES

Contract Programs 19,719

As noted under the separate "contract programs" narrative which immediately follows this section, we have restructured our contract programs for FY 1991. Our FY 1990 budget included $40.177 million for all of the no-year accounts. We are requesting a total of $59.896 million for these same items in FY 1991 or a total program increase of $19,719 million. Detailed justifications of this increase by program is included in the Contract Programs section of this narrative.

"Other" Other Services 301

An increase of $128 thousand is requested for our centralized training program in order to enter into contracts with colleges/universities to develop and present a series of multi-week in-depth technical training courses designed to enhance the capabilities of FHWA personnel in the newest technology for alleviating gridlock, environmental pollution, in-vehicular communications and automatic vehicle routing. It will also provide advanced academic study in various technical specialties. This program will build upon and supplement the traditional engineering curriculums provided by academic institutions and will present the specialized knowledge that addresses specific highway issues.

In addition to the above, $182 thousand is needed to pay for a minor increase in our ADP systems and programming contract.

Equipment 2,432

Since this item of expense is one of the very few "discretionary" items at our disposal, the amount spent is often reduced when any unbudgeted costs such as pay raises must be absorbed and/or when budget requests are reduced throughout the budget review process. This has been the case with FHWA's equipment budget; therefore a significant increase in this item is being requested in FY 1991 as follows:

(dollars in thousands)

	FY 1990 Estimate	FY 1991 Request	Difference
ADP Equipment	$1,636	$3,150	$1,514
Scientific Equipment	232	561	329
Regular Office Furniture and Equipment	470	1,059	589
Subtotal	2,338	4,770	2,432
Inflation	0	84	84
Total Furniture and Equipment	$2,338	$4,854	$2,516

A total of $3.15 million is requested for ADP equipment for FY 1991 which is essential if we are to absorb the ever-increasing workload within the same amount of personnel resources. We estimate that this level of funding will allow us to replace about 160 personal computers ($400 thousand) which are either outdated and/or costing us too much to repair; 200 micro-computers for word processing functions ($600 thousand); 300 general purpose microcomputers ($900 thousand); 100 data intensive microcomputers ($500 thousand); and 25 Local Area Networks ($750 thousand).

With the FHWA's new direction in the development of new innovations in highway construction technology, substantial increases in scientific equipment are warranted. We are requesting a total of $561 thousand for scientific/research equipment. Of this request about $98 thousand is for our structures lab; $50 thousand for the hydraulics lab; $73 thousand for the aerodynamics lab; $129 thousand for pavements; $55 thousand for materials; $37 thousand for traffic systems; $76 thousand for traffic safety and design; and $43 thousand for advanced implementation methods facility.

In addition to the above "specialized" furniture and equipment, our sixty plus field offices require extensive replacement of regular office furniture and equipment which has become obsolete and disrepair. A total of $1.059 million is requested for this item.

GENERAL OPERATING EXPENSES

SUMMARY OF ADP REQUIREMENTS

Although the various dollar increases in ADP related items are included in the preceding narrative by object class, to assure adequate information is provided to facilitate a thorough review of our administrative ADP requirements, we are including the following summary of our resource requests in this area:

		(dollars in thousands)		
		FY 1990 Estimate	FY 1991 Request	Difference*
2300	Rent, Comm., & Util.			
	Lease of Equipment	$125	$129	$4
2500	Other Services	13,779	14,446	667
	Tymnet/Ontyme	400	414	14
	PMIS	225	233	8
	TCC (Incl. TONS)	8,789	9,105	316
	Maintenance	350	363	13
	Training	313	324	11
	Systems & Programming	2,646	2,913	267
	Other contractual services	1,056	1,094	38
2600	Supplies	225	233	8
3100	Equipment	1,636	3,209	1,573
	Total, ADP Requirements	$15,765	$18,017	$2,252

* In addition to 3.6% for inflation, provides $172 thousand for systems and programming and $1.514 million for equipment.

FEDERAL HIGHWAY ADMINISTRATION

SUMMARY OF CONTRACT PROGRAMS

The following table compares the amounts requested in FY 1991 for our contract programs with the amounts included in the FY 1990 budget:

(Dollars amounts in thousands)

	FY 1990 Estimate			FY 1991 Request		
	No-Year	Annual	Total	No-Year	Annual	Total
R&D Hwys./Hwy. Saf. R&D	*	N/A	N/A	N/A	N/A	N/A
Hwy. Science & Tech.:	($21,799)	($4,320)	($26,119)	($42,710)	($1,361)	($44,071)
Hwy. Res. Dev. & Tech.	15,777	2,959	18,736	26,360	0	26,360
Intelligent Veh./Hwy. Sys.	2,333	0	2,333	13,000	0	13,000
Nat'l Hwy. Institute	0	1,361	1,361	0	1,361	1,361
Rural Tech. Asst. Prog.	3,689	0	3,689	3,350	0	3,350
Minority Bus. Enterprise	5,600	0	5,600	7,900	0	7,900
Interjur. Trucking Prog.	150	0	150	150	0	150
Truck & Commodity Survey	249	0	249	250	0	250
Trucking Education	499	0	499	0	0	0
Hwy. Use Tax Evasion Proj.	500	0	500	2,000	0	2,000
International Transportation	0	0	0	25	0	25
Hwy. Usage Data	0	0	0	500	0	500
Central DFD Laboratory	45	0	45	0	0	0
Western DFD Laboratory	434	0	434	0	0	0
Feas. Study, Witchita	100	0	100	0	0	0
Nat'l Scenic Biways	997	0	997	0	0	0
I-80/I-94 Congestion	499	0	499	0	0	0
Univ. Transportation Centers	4,985	0	4,985	5,000	0	5,000
Demonstration Projects	N/A	**	N/A	N/A	N/A	N/A
Total	$35,857	$4,320	$40,177	$58,535	$1,361	$59,896

* $21.069 million of no-year funds are included in the President's FY 1990 budget for this activity of which $18.736 million is included in Hwy. Research, Development and Technology and $2.333 million is included in Advanced Vehicle/Highway Systems. This category has been eliminated in the FY 1991 budget.

** $2.959 million of annual funds are included in the President's FY 1990 budget for this activity all of which is included in Hwy. Research, Development and Technology. This line item has been merged into the no-year Hwy. Research, Development and Technology category in FY 1991.

FISCAL YEAR 1991 FHWA PROGRAMS OF HIGHWAY SCIENCE AND TECHNOLOGY
OVERVIEW

Introduction

Over the last 5 years, the Federal Highway Administration (FHWA) has reoriented its Research, Development, and Technology Transfer (RD&T) program to make it more compatible with a changing Federal environment and to respond more effectively to the highway community, including the State and local public sectors, universities, and private industry. At the same time, the direction has been changed to better meet the challenges of the 1990's and beyond, particularly the post-Interstate Highway System era after 1991.

Fiscal year 1991 is a transition year which must serve to bridge the gap between the programs of the previous 5 years as authorized by the 1987 Surface Transportation and Uniform Relocation Assistance Act (STURAA), including the $150 million Strategic Highway Research Program (SHRP), and the upcoming programs to be authorized in substantive legislation beginning in fiscal year 1992.

Substantial funding increases for all Science and Technology activities are proposed for fiscal year 1991. There are several reasons why these increases in funds are needed:

- The need to deploy the results of research from the current pavements, materials, and structures programs.
- The need to provide a high level research, development, and technology transfer effort related to reducing traffic accidents and fatalities.
- The need to address the growing problem of traffic congestion.
- The need to address the human factors aspects of commercial vehicle drivers such as driver fatigue.
- The need to support much expanded Motor Carrier safety and regulatory responsibilities.

At the end of fiscal year 1991, the funding for the SHRP will end. There will remain the job of transforming the findings from this and related research into usable products and of marketing and deploying those products. In the areas of materials and structures research particularly, which is essentially $100 million of the $150 million SHRP research effort, significant technical breakthroughs are expected. The remaining $50 million relates to Long-Term Pavement Performance evaluations with output expected much later. Products emanating from this research effort will lead to better riding, longer lasting, less costly pavements and structures. Rapid deployment by the FHWA of the developments from the research will save millions of dollars.

The research, development, and technology transfer effort to reduce traffic accidents and fatalities will continue to receive high priority by FHWA with the focus on human factors research and the development of an advanced highway driving simulator. A new High Priority National Program Area (HPNPA) will relate accident experience closely with safety design practices and criteria. The recommendations emanating from this HPNPA are expected to provide countermeasures which prevent encroachment on the roadside, reduce accident severity, and allow recovery opportunities.

Urban traffic congestion continues to increase with growing decentralization, suburban development, and increasing dependence on the private vehicle for transportation. Two approaches to address this growing problem are proposed: (1) a concerted effort to apply available technology through traffic management systems in metropolitan areas, and (2) a new program to develop and implement intelligent vehicle/highway systems. The first approach is necessary to gain wider acceptance and application of proven techniques which are being used in some of the more progressive metropolitan areas. The second approach, identified as a separate Intelligent Vehicle/Highway Systems (IVHS) line item, represents a new program to allow Federal, State, and local governments, and private industry to work together to develop and deploy advanced technologies in the U.S. highway system. Western Europe and Japan have well developed programs in this area, with expected benefits including reduced traffic congestion, substantial safety improvements, and reduced vehicle emissions. Significant benefits are also expected in the international trade sector, and U.S. industry must be in a position to respond to this foreign challenge.

A major thrust for fiscal year 1991 will be activities designed to directly and immediately address urban traffic congestion. These activities are encompassed within the general categories of (1) recognition of the problem of traffic congestion and its nature; (2) enhancement of technical expertise to relieve traffic congestion; and (3) improvement of the operation of traffic management systems. More detailed descriptions and funding levels for these activities are included under the Intelligent Vehicle/ Highway Systems (Operational Applications) Program in this section of the budget as well as under the "other" services portion of the General Operating Expenses account which was previously addressed.

Commercial highway vehicles are critical to the U.S. economy and their safe operation is of paramount importance to all. The Motor Carrier Research Program addresses the safe operation of the vehicle, driver, and cargo. The program supports the Office of Motor Carriers (OMC) regulatory, enforcement, and educational activities; basic research; and the application of new technologies. The research program has three high priority areas: Improving Stopping Characteristics of Heavy Vehicles, Appropriate Medical Qualifications of Commercial Motor Vehicle Drivers, and Driver Fatigue. Other areas include regulatory and program analysis, vehicle maintenance and operation, and hazardous materials. The OMC regulatory and safety programs rely on comprehensive information regarding carriers and their performance. This information base and its analysis are also supported by the research funding. The goal of our research program and other efforts is to decrease fatalities, injuries, and property loss caused by commercial vehicles.

All of the programs identified in previous years as RD&T and some new emphasis programs have been grouped and retitled, "Highway Science and Technology." The FHWA Highway Science and Technology program can be found in five major program categories:

1. Highway Research, Development, and Technology
2. Motor Carrier Research Program
3. Intelligent Vehicle/Highway Systems (IVHS)
4. National Highway Institute (NHI)
5. Rural Technical Assistance Program (RTAP)

When reviewing the fiscal year 1991 requests for these various programs, certain specific details must be noted: (1) Highway Research, Development, and Technology includes most of the items included in previous budgets under R&D Highways and Highway Safety R&D; this program area now also includes all of the Demonstration Projects program (no-year funds now being requested) which previously was a separate line item. (2) The Motor Carrier R&D program is included in this overview discussion and more description will be found under the Motor Carrier Safety appropriation account. (3) Intelligent Vehicle/Highway Systems is primarily a new initiative designed to address problems in congestion and operational systems of our highways; it does include a portion of the previous R&D Highways category. (4) The NHI line item is unchanged. (5) RTAP is the same basic program as in the past.

The FHWA Highway Science and Technology Programs receive major direction from FHWA's top management. Three review groups, the Research Advisory Councils (RAC's), the Research Activities Board (RAB), and the Executive Committee for Marketing, ensure widespread review involvement within FHWA.

Following in Table 1, in both narrative and tabular form, is the detailed justification for each of the items included under our newly developed Highway Science and Technology program.

Table 1
Highway Science and Technology

(dollar amounts in thousands)

Program Item	FY 1990	FY 1991
I. Highway, Research, Development and Technology	**$18,736**	**$26,360**
A. Highway Research and Development	11,495[2]	18,360
1. Safety	4,465	8,450
2. Traffic Operations	1,983	2,210
3. Pavements	2,931	2,700
4. Structures	2,116	5,000
B. Technology Assessment and Deployment	6,040	6,000
1. Implementation	3,081[1]	3,000
2. Demonstration	2,959	3,000
C. Policy and Planning	1,201	2,000
1. Policy Analysis and Information Management	774	1,310
2. Planning	427	690
II. Intelligent Vehicle/Highway Systems	**$ 2,333**	**$13,000**
A. Research and Development	2,333	9,000
1. Advanced Traffic Management Systems	0	3,000
2. Advanced Driver Information Systems	2,333[3]	5,000
3. Automated Highway/Vehicle Control	0	500
4. Heavy Vehicle/Commercial Operations	0	500

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[1] $3,081 designated for Implementation from Highway R&D categories.

[2] $3,000 for TRANSCOM and $500 for Timber Bridge Research are taken from Highway Research and Development and Intelligent Vehicle/Highway System funds.

[3] $2,333 for Advanced Driver Information Systems was included for the Traffic Operations Program.

Program Item	FY 1990	FY 1991
	(dollar amounts in thousands)	
B. Operational Applications	0	4,000
1. Advanced Traffic Management Strategies Operational Demonstrations	0	2,250
2. Traffic Control Systems	0	400
3. Traffic Management Quality Assurance	0	350
4. Geographic Information System (GIS)	0	1,000
III. National Highway Institute (Short Course Program)	$ 1,361	$ 1,361
IV. Rural Technical Assistance Program	$ 3,689	$ 3,350
SUBTOTAL	$26,119	$44,071
V. University Transportation Centers Program	$ 4,985	$ 5,000
SUBTOTAL	$31,104	$49,071
VI. Motor Carrier Research Program[4]	$1,267	$1,782
A. Improving Stopping Capability	410	300
B. Appropriate Medical Qualifications	350	200
C. Driver Fatigue/Alertness	0	500
D. Regulatory and Program	100	0
E. Information and Analysis	407	782
GRAND TOTAL, FHWA HIGHWAY SCIENCE AND TECHNOLOGY	$32,371	$50,853

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[4] This program is requested and justified in the Motor Carrier Safety portion of the budget.

Highway Science and Technology

(dollar amounts in thousands)

	FY 1990	FY 1991
I. Highway Research, Development, and Technology	$18,736	$26,360

The Highway Research, Development, and Technology portion of this fiscal year 1991 budget describes the traditional highway research and deployment activities of FHWA. The major changes from the fiscal year 1990 Research and Development, Highways and Highway Safety Research and Development budgets are:

- Increased development activity to accommodate research output from the pavements, materials, and structures programs.
- Designation of selected aspects of the Traffic Operations and Demonstration programs as a separate "Intelligent Vehicle/Highway Systems" (IVHS) program (described in a separate section of the budget).
- The development of a coordinated "Technical Assessment and Deployment" (TAD) program involving implementation, demonstration, and experimental programs.

The initial output from current materials research will feed a concerted technology marketing effort related to improved asphalt materials and specifications. The designation of the IVHS program as a separate budget line item will remove the Traffic Operations HPNPA on Advanced Motorist Information Systems for Improved Traffic Operations from the RD&T portion of the budget, and allow focusing on the Improved Highway Travel for an Aging Population HPNPA. A list of the current HPNPA's is contained in Table 2. Major deployment efforts under the TAD will initially concentrate on methods for reducing malfunctioning active traffic control devices and vehicle detectors, an area where use of available technology has lagged because of limited funding.

(dollar amounts in thousands)

	FY 1990	FY 1991
A. Highway Research and Development	$11,495	$18,360
1. Safety	4,465	8,450

Accomplishments in Fiscal Year 1989 and Fiscal Year 1990

A number of bridge rails have been developed that meet the American Association of State Highway and Transportation Officials (AASHTO) performance level requirements. The pedestrian "WALK ALERT" program is now in the implementation phase in 11 States with 2 pilots conducted in Richmond,

Table 2
Highway Research, Development, and Technology High Priority National Program Area's (HPNPA's) and Other FY 1991 Funding Needs

NCP Category	HPNPA	FY 1991
SAFETY	1. Visibility of Traffic Control Devices	650
	2. Highway Safety Design Practices and Criteria	1,500
	3. Truck/Highway Safety	400
	4. Information Resources	1,100
	Laboratory Support	400
	Subtotal Safety HPNPA's	4,050
TRAFFIC OPERATIONS	1. Improved Freeway Control Systems for Congestion Reduction	500
	2. Development of Improved Traffic Analysis Tools	960
	3. Improved Highway Travel for an Aging Population	750
	Subtotal Traffic Operations HPNPA's	2,210
PAVEMENTS	1. Truck/Pavement Interaction	600
	2. Accelerated Evaluation of Pavement Performance	650
	3. Performance Related Specifications for Highway Construction	300
	Laboratory Support	200
	Subtotal Pavements HPNPA's	1,750
STRUCTURES	1. Critical Substructural Bridge Members	1,000
	2. Live Load Effects	600
	3. Steel Bridge Coatings	350
	4. Prestressed Concrete Protection	700
	5. Geotechnology	650
	Laboratory Support	600
	Subtotal Structures HPNPA's	3,900
PLANNING	1. Ensuring the Efficiency of Future Urban Transportation Systems	275
	Subtotal HPNPA's	12,185
	Non-HPNPA Studies	3,450
	Policy Studies	1,310
	Planning Studies	415
	Advanced Highway Simulator	3,000
	Technology Assessment & Deployment	6,000
Total Highway Research, Development, and Technology FY 1991		26,360

Virginia, and Lexington, Kentucky. Two significant studies have been completed in the heavy truck area. In one study, those truck characteristics that are important in highway design were identified. The other study identified those safety factors that should be evaluated in developing truck size and weight policies. A joint effort was undertaken with NHTSA entitled, "A Strategic Transportation Research Study for Highway Safety." This study is an evaluation of the existing safety program and will identify those areas where research is needed that could significantly increase highway safety.

In cooperation with NHTSA, a fully developed needs study and a feasibility study for a driving simulator have been conducted to define the operational requirements and associated costs. Discussions also will be held with appropriate segments of private industry to determine potential industrial usage and seek a significant financial contribution toward the cost of the simulator. We expect the total cost of the simulator to be in the range of $30 to $35 million.

Planned Activities and Accomplishments for Fiscal Year 1991

A major funding requirement included in the fiscal year 1991 Safety program is the development of a new state-of-the-art Highway Simulator. The current simulator, designed in 1980, does not have the visual fidelity, rapid response, or vehicle dynamic capabilities necessary for critical human factors research. More advanced driver simulators are located in Sweden and Germany. However, additional advances in graphics and dynamics technology have occurred since those systems were built. These enhanced capabilities are essential to allow testing of measures to improve the performance and mobility of older drivers (over 65 years old), to support critical human-machine interface evaluations for the Intelligent Vehicle/Highway Systems program, and to perform driver fatigue measurements as well as articulated vehicle dynamics for the Motor Carrier research program. In addition, the Highway Simulator would contain the capabilities necessary to support the human factors requirements in the NHTSA research program. This activity contains $3 million to award a contract for the initial development and design of the simulator. This activity will be fully coordinated with the NHTSA, which received a $3 million appropriation in 1990 for this activity.

The additional Highway Safety work planned for fiscal year 1991 will continue and accelerate research in the selected High Priority National Program Areas (HPNPA's) **Visibility of Traffic Control Devices, Highway Safety Design Practices and Criteria, Truck/Highway Safety**, and **Information Systems**.

The **Visibility of Traffic Control Devices** and highway lighting are critical features which guide the motorist through darkness and inclement weather conditions. They are particularly important for elderly drivers, many of whom have vision deficiencies, and for other drivers with substance impairment. New devices to measure sign and pavement marking retroreflectivity will be further developed and field tested under various environmental conditions. Additional concern has also been raised on the safety benefits of roadway lighting. New studies will determine the effect of various illumination levels, comparisons of accident rates with and without lighting, and the incremental benefits for various levels of fiscal investment in roadway lighting.

The new **Highway Safety Design Practices and Criteria** HPNPA incorporates the remaining activity from two previous HPNPA's (Advanced Testing Methods and Analysis Procedures, and Traffic Barrier Systems). This activity is focused on a new system for balancing geometric design requirements of the roadway with safety requirements of the roadside. Under past practices the roadside design elements were often treated as a second phase of design, with only limited design options left in the remaining right-of-way, and sparse information available for making safety and economic evaluations. Work in this area is important since approximately 15,000 out of 41,000 fatal accidents in 1986 were roadside accidents and about 12,000 involved single vehicle collisions with fixed roadside objects. The planned system for reducing these losses will consider design practices and other countermeasures to prevent vehicle encroachment on the roadside as well as recovery opportunities and severity reduction measures. The Federal Outdoor Impact Laboratory at the TFHRC will be an important resource for work in this area. In fiscal year 1991, studies will include a pilot study for a large-scale roadside accident investigation, a state-of-the-practice review of design consistency, and an investigation of the relationship between accidents and geometric alignment.

Work in the **Truck/Highway Safety** area continues on reducing the 5,000 annual fatalities involving medium and heavy trucks. Studies aimed at identifying the relationship between truck accidents and highway design should allow the development of geometric design standards to more adequately accommodate large trucks. Procedures for identifying those ramps that are particularly hazardous to trucks are now in progress. This has been a major problem for fuel tankers, including recent accidents on the Capitol Beltway in Washington, D.C.

Work is underway on a **Highway Safety Information System** demonstration and evaluation (Phase I). In fiscal year 1991, work will begin on a Phase II effort involving the incorporation of geographic information systems, using videodisc-based photologs, and improving the statistical techniques. This activity has taken into account the databases maintained by the NHTSA and will provide an up-to-date supplement to those systems. It will also include essential highway data which is lacking in the NHTSA data set.

(dollar amounts in thousands)

		FY 1990	FY 1991
2.	Traffic Operations	$ 1,983	$ 2,210

Accomplishments in Fiscal Year 1989 and Fiscal Year 1990

Significant effort was devoted to cooperative activities with industry and other public agencies on Intelligent Vehicle/Highway Systems. Cooperative research with General Motors and Caltrans continued on the Pathfinder project in Los Angeles and preliminary planning was advanced for a new cooperative field demonstration and evaluation in Florida.

A successful vehicle recognition algorithm as part of a wide-area traffic detector system was completed. Further development and evaluation were continued by the State and university which had participated in the detector development. Traffic models for freeways and corridors were enhanced and incorporated into a user-friendly microcomputer system which facilitates their use by practitioners. The costs and benefits of an integrated computer control traffic management and motorist information system on Long Island, in New York will be evaluated by the end of fiscal year 1990. The compatibility of older drivers' physiological and cognitive capabilities with existing traffic control devices will be assessed.

Planned Activities and Accomplishments in Fiscal Year 1991

Work in the previous HPNPA on Advanced Motorist Information Systems for Improved Traffic Operations has been transferred to the new Intelligent Vehicle/Highway Systems program. The remaining HPNPA's in this area include: (1) **Improved Highway Travel for an Aging Population**, (2) **Improved Traffic Analysis Tools**, and (3) **Improved Freeway Control**.

The HPNPA on **Improved Highway Travel for an Aging Population** recognizes that the proportion of drivers over 65 in the total driving population is expected to increase by 20 percent by the year 2020. The reduced operational capability, fragile physical nature, and other characteristics of many older drivers can have serious safety and mobility implications if compensating highway features are not provided. Planned studies will investigate older driver capabilities and requirements in relation to current practice with regard to symbols used on highway signs, traffic signals controlling turning movements at intersections, and night driving and highway lighting. Improved safety for older drivers and less disruption of traffic affecting all drivers will result from modifications to the highway environment to make it more compatible with the capabilities of older drivers.

The **Traffic Analysis Tools** HPNPA will provide computer-based tools which are necessary for highway engineers and planners to analyze various traffic control and congestion reduction methods and optimize traffic flow through signalized street systems. Planned activities will augment current traffic simulation models to allow the analysis of safety aspects as well as operations, the addition of a capability to analyze a user's problem and automatically conduct a statistically valid number of runs and field experiments to calibrate the various models.

The planned work under **Improved Freeway Control** seeks methods for improving the operational characteristics of existing freeway sections. Simply preventing an increase in the currently estimated 2 billion vehicle-hours of delay on urban freeways is a major challenge. Planned activities include field evaluation of proposed improvements in complex freeway corridors (those which have serious current operating problems) and analysis of the potential for inducing drivers to divert to other routes or change their departure times.

(dollar amounts in thousands)

	FY 1990	FY 1991
3. Pavements	$ 2,931	$ 2,700

Accomplishments in 1989 and 1990

A Load-Equivalency Workshop sponsored by FHWA at the Turner-Fairbank Highway Research Center (TFHRC) was attended by 70 national and international experts on heavy vehicles; truck, tires, and suspension dynamics; pavement performance; and pavement response. A joint industry highway community seminar at the Transportation Research Board on "The Vehicle/Pavement Interface, The Common Ground," defined areas of common research needs and capabilities.

The Truck Dynamics Testing Facility (TDTF) simulates the dynamic forces applied to pavements and, determines the effects of changes in tires, inflation pressures, suspension, and vehicle configuration on these forces. Data from the TDTF will be compared with field data from instrumented trucks and trailers to determine the relationship between laboratory data and controlled field data when used to predict pavement performance.

The FHWA's Accelerated Loading Facility (ALF) completed a pilot field test in Wyoming and Montana. Effects of the new "super single" (very wide single truck tire) as opposed to conventional dual radial tires was evaluated at TFHRC using the ALF.

The research in Performance Related Specifications (PRS) was partially delayed until 1990 due to funding restrictions. The research on asphalt concrete PRS was completed and a framework and experimental design for study validation using accelerated testing was developed. Research on portland cement concrete PRS is being initiated.

Significant developments in mathematical modeling of pavement response under dynamic heavy vehicle loads have been made. The additional laboratory and field data developed from this research are being used to develop pavement performance curves and life cycle information to show the relationships among pavement deterioration, rehabilitation strategy, and increased heavy vehicle loading over time.

Planned Activities and Accomplishments For Fiscal Year 1991

The Truck/Pavement Interaction HPNPA is closely tied to developments and contemplated evolution of our Nation's heavy vehicle fleet. Work is closely coordinated with the truck industry and the highway community to evolve a strategic approach to preserving the integrity of our pavements and accommodating improved efficiency of our transport fleet.

The TDTF facility will permit laboratory testing of full truck trailer combinations. At present only part of the vehicle's wheel system may be exercised by the facility. The capability to determine the magnitude of dynamic forces on pavements does not now exist in the United States. Current research within the vehicle industry is directed at measuring the effects on vehicles, rather than pavements. This facility will therefore provide a knowledge bridge with information gathered by the truck manufacturing community. The data from the TDTF will be augmented by field data collected from instrumented trucks. Research of the interfacial forces between the tire and pavement will be initiated. This research may provide insight into pavement wear, as well as tire performance. This research will be closely coordinated with NHTSA and the U.S. tire industry. This coordinated program of vehicle, pavement, tire, laboratory, and field research will provide unique capability for the United States.

Pavement damage models will be developed to describe maintenance, rehabilitation, and life cycle costs. These models will be used in formulating more cost-effective pavement rehabilitation programs. Microcomputer models and programs which determine the dynamic effects and impacts of heavy trucks on pavements, and the associated cost models for maintenance and rehabilitation strategies will be developed.

When linked to our accelerated pavement testing capability, this work is key to answering the question of "How will we provide for a durable, efficient highway system for the 21st century?" and provide guidance on how to assess the costs.

Research into the **Accelerated Evaluation of Pavement Performance** is directed to providing rapid, reliable answers regarding the long-term performance of design or materials innovations in pavement technology. The ability to simulate 10 to 20 years loading in several months is crucial to making the optimal decisions for future direction in our pavement program.

Accelerated evaluation of pavement performance is being done by FHWA to augment the SHRP to provide this key capability to project long-term pavement performance and develop interim results in only 5 years.

As a result of field demonstrations and continued development of accelerated pavement testing technology, it is anticipated there will be two to four additional ALF units under the joint operation of several States using pooled funds. These facilities will be used to develop performance curves for innovative pavement designs and materials.

One of the significant problems remaining will be to ensure the quality of construction and the ability of constructed facilities to perform as designed. The **Performance-Related Specifications for Highway Construction** HPNPA is designed to provide the tools for ensuring the quality and future performance of highway construction, reconstruction, and maintenance. FHWA's pavement research program is directed toward critical issues not addressed in the SHRP, but this project will readily use and expand upon results in the cement and asphalt programs.

Full-scale field tests (test track) of both asphalt concrete and portland cement concrete pavements performance-related specifications will be encouraged. Appropriate performance tests for asphalt binders and cement and concrete developed in other programs will also be evaluated. To incorporate significant advances in asphalt testing technology developed through the National Cooperative Highway Research Program, technology in our bituminous mixtures research laboratory will be tested. This laboratory will continue to provide significant support to our Truck Pavement Interaction and Accelerated Evaluation of Pavement Performance HPNPA activities.

(dollar amounts in thousands)

		FY 1990	FY 1991
4.	Structures	$ 2,116	$ 5,000

Accomplishments in Fiscal Year 1989 and Fiscal Year 1990

A multi-year experimental bridge model study in the TFHRC Structures Laboratory was completed to show the feasibility of using a modified design method (auto-stress) for steel bridges. The method reduces steel weight by 10 percent and if adopted, could save $60 million per year as estimated by the industry group that co-funded the study. Studies in the TFHRC Hydraulics Laboratory were completed to determine "riprap" (rock) sizes required to protect bridge piers from scour. Different shapes of piers and sizes of riprap were tested in the laboratory's tilting flume to determine effectiveness of riprap. Research was completed and design manuals developed for two important ground reinforcement/stabilization techniques--reinforced soil and soil nailing. It concentrated on the durability and corrosion resistance of reinforcement elements to increase the longevity of retaining structures. A portable acoustic emission bridge monitor was developed and successfully field tested on six in-service field welded bridges. The monitor successfully located hidden flaws induced during field retrofit. Weld repair techniques have been developed for flawed electroslag welds.

A corrosion protection system for "weathering steel," which includes cleaning and coating procedures, has been developed and evaluated. The system will extend the service life of weathering steel bridges. A feasibility study for using adhesives in lieu of welds to join steel members together was completed. Adhesives in combination with limited bolting shows potential cost savings. Results of a 7-year TFHRC staff study indicated that calcium nitrite used as a corrosion inhibitor in reinforced concrete performs well. The FHWA formulation of a durable conductive polymer concrete led to the development of various cathodic protection (CP) systems. The conductive polymer concrete research was initiated by the FHWA prior to the start of industry programs and the SHRP. This FHWA initiative in the area of CP technology is being expanded under the SHRP through additional fundamental research.

Planned Activities and Accomplishments for Fiscal Year 1991 and Beyond

The fiscal year 1991 Structures R&D program will accelerate research on scour protection of highway bridges and focus on the conduct of scheduled research within each of five approved HPNPA's: Critical Substructure Bridge Elements; Prestressed Concrete Protection; Live Load Effects; Steel Bridge Coatings; and Geotechnology.

Research conducted within the **Critical Substructure Bridge Elements (Scour)** HPNPA to develop condition assessments and inspection methods for bridge substructures will be accelerated ($1,200,000 in fiscal year 1991) to provide answers to some of the questions being raised from recent catastrophic bridge collapses. Two studies will be initiated in 1991; Large Scale Abutment Scour Protection and Determination of Unknown Bridge Foundation Type and Size. The first study is required to clarify the Technical Advisory and forthcoming Highway Engineering Circular (HEC) which provides interim guidance on predicting scour at abutments. The second study is to be accelerated because currently, plans and records do not exist for many bridge foundations, making scour vulnerability assessment impossible. Additional scour research will develop the capability to map the underwater stream bed profile during periods of flooding to allow for hydraulic characteristics through improved design criteria for locating bridges. This important research will result in clarifications of and extensions to interim guides on scour.

The use of prestressed concrete members in bridge construction is relatively new. Because these members rely on the tensile strength of the strands to resist loads, loss of even a few strands per member could prove catastrophic. Therefore, the HPNPA **Prestressed Concrete Protection** is important. In addition, because of the high stress in the strands, corrosion effects are accelerated. Even small corrosion pits could cause fracture of a strand, as compared to mild steel reinforcing that will literally rust away before breaking. The conduct of research within this HPNPA will result in procedures and methods to protect and/or restore existing prestressed concrete superstructure and substructure members subject to varying degrees of deterioration when exposed to adverse environments, and ensure that newly constructed prestressed concrete members are protected for their design life. This research is coordinated with and complements that research being conducted by the SHRP to investigate protection of reinforced concrete bridge decks and members.

The FHWA has established the **Live Load Effects** HPNPA to study the effects of heavy trucks on bridges. At present, bridges are designed using the AASHTO H and H-S truck loadings for short to medium span lengths, an alternative lane load for longer spans, and a heavy two-axle military load for very short spans. Today many trucks on the roads are heavier than the design loads. Legal live loads are theoretically controlled by the "bridge formula" which limits gross truck weights to 40 tons and axle weights to 10 tons. A realistic determination of truck loads on bridges, a projection of their likely growth, and an evaluation of their effect on bridges is required. Research will result in the development of a rational load criteria for the design and rating of highway bridges which will reflect actual and projected truck sizes and weights as well as the total structural behavior of highway bridges.

The National Bridge Inventory indicates that there are approximately 224,000 steel bridges in the United States. Of these, 134,000 are listed as deficient, and many require major refurbishment or replacement. This is the result of deferred maintenance practices and low prioritization of maintenance budget dollars for painting and corrosion protection. The problem is exacerbated by the fact that the majority of the structures requiring maintenance have been protected by materials that are now considered hazardous to the environment and that require expensive methods of removal, containment, and disposal. These environmental constraints have introduced a critical need for innovative technological advances in corrosion control material and methods, which are included under the **Steel Bridge Coatings** HPNPA. Research in this HPNPA will result in the development and deployment of environmentally acceptable maintenance methods and coating systems for the cost-effective corrosion protection of bridge steels.

The **Geotechnology** HPNPA addresses the problem of developing a comprehensive design and construction guidelines manual, a series of manuals for foundations of highway bridges and various ground improvement techniques to include alternate retaining wall systems. These guidelines and manuals will be used to design and construct more efficient and cost-effective bridge foundations, retaining walls, cut-slopes and embankments, which account for over 50 percent of the cost of most highway projects. This research will result in the development and deployment of improved predictive techniques for foundation design and improved design and construction guidelines for ground improvement techniques such as reinforced soil, stone columns, dynamic compaction, soil nailing, and prefabricated vertical drains.

(dollar amounts in thousands)

	FY 1990	FY 1991
B. Technology Assessment and Deployment (TAD)	$ 6,040	$ 6,000
1. Implementation	3,081[4]	3,000
2. Demonstration	2,959	3,000

Accomplishments in Fiscal Year 1989 and Fiscal Year 1990

Major accomplishments in the traffic and safety area included the release and distribution of two traffic simulation software packages to help traffic engineers abate congestion in urbanized areas; a technology transfer marketing course for use at Federal, State and local levels; and a technology sharing report on bridge rails, guardrails, and rail transitions. Also distributed were two new manuals containing guidelines and standards for safely accommodating pedestrians and handicapped persons in the highway environment.

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[4] Implementation funds in FY 1990 were budgeted in the Highway R&D categories.

A technology sharing report for establishing guidelines for developing expert systems was also distributed and widely accepted by the States.

Major accomplishments in the pavements and structures area include evaluation and acceptance of a new testing apparatus for the indirect tensile test for asphalt pavements, which provides a faster, less expensive and more accurate test method to improve current design procedures; guidelines for when and when not to used uncoated weathering steel on structures to reduce further maintenance and rehabilitation costs; a manual on stability of streams at bridge locations to improve stream stability and minimize scour problems; and a detailed guide for preparing inspection manuals for new segmental prestressed concrete bridges to enhance the ability to adequately inspect these bridges in service. The demonstration project on bridge inspection techniques and equipment has been very popular and contains the latest available inspection equipment for performing underwater inspections.

Planned Activities and Accomplishments for Fiscal Year 1991

Technology Assessment and Deployment (TAD) is a new category that combines the technology transfer activities of Implementation, Demonstration, and Experimental Programs. During the past several years, implementation activities have been incorporated into the R&D budgets of each of the major NCP categories and demonstration/experimental projects were considered as a separate line item.

TAD provides for a more coordinated effort to: identify and assess "winner" highway technology; field test and experiment with promising new technology; develop marketing plans for promotion of cost-effective products; provide tools needed in the promotional efforts including user-oriented guides, tutorials and other materials useful for self instruction, audio-visual materials to illustrate new concepts and technologies, exhibits at national, regional, and international technical meetings; demonstrations, by actual example, of on-the-job use of new technologies to State agencies; and jointly sponsoring with State and local agencies and the private sector a speed up deployment of high-pay off technology. Technology transfer activities will be driven through establishment of and use of a technology assessment program. Selected demonstration/experimental and implementation projects that relate to advanced technologies for highway safety and traffic congestion are included in the line item on Intelligent Vehicle/Highway Systems (IVHS).

Specific major TAD activities to be performed in fiscal year 1991 include wide-scale deployment of a small number of proven effective technology, like motorists communications, methods for reducing malfunction of active traffic control devices and vehicle detectors, which have not been widely used to date in the United States and, if employed, would result in large cost or labor savings.

In fiscal year 1991, $1,450,000 of the budget item will be used for **Deployment** of a few extremely cost-effective products from both FHWA's contract program and State research programs. One candidate product is a method for reducing improper operation or malfunction of active traffic control devices, which can substantially improve the flow of traffic, especially in larger metropolitan areas. Not only is the operation of existing systems hampered because of poor installation and maintenance of traffic control system hardware, but the installation of advanced systems has been discouraged because of large failure rates. For example, nationwide failure rates of vehicle detectors are estimated to be as high as 30 percent. A concentrated effort to provide training, certification of technicians, and inspection of detector installations, voltage transient protection and control system maintenance would be undertaken. A second candidate deployment effort deals with proper usage of active motorist communication devices, including changeable message signs and highway advisory radio. The appropriate design, location and operation of changeable message signs and highway advisory radio would be ensured through extensive instruction and monitoring of usage.

Other products planned for transfer in fiscal year 1991 concentrate on outputs from the HPNPA's of the R&D program. In fiscal year 1991, $775,000 will be used for technology transfer of HPNPA-related products and miscellaneous small technology transfer items. Examples are:

- Dissemination of expert systems for selecting appropriate accident reduction measures.
- Preparation of user-friendly microcomputer design programs for spread footings on sand, wick drains, soil nailing, and mechanically stabilized earth to automate proven geotechnical design and analysis.

Demonstration Projects identify, evaluate, document, and promote the adoption and use of new technology to design, construct, maintain, and operate our Nation's highway systems. The strategy employed is to demonstrate, by actual example, the on-the-job use of new technology to State agencies. These efforts will involve continued development and/or promotion of demonstration projects that encourage the adoption of technologies such as:

- Asphalt and portland cement concrete that ensure higher quality mixes and longer lasting roads.
- Bridge inspection equipment and techniques that provide better and more reliable data on the condition of bridges both above and below the waterline.
- Weigh-in-motion equipment that provides for more accurate data on traffic loadings used to produce more realistic pavement designs.

Experimental features encourage and assist highway agencies to experimentally incorporate, evaluate, and document the performance of potentially promising new technologies in their highway products. This work will involve continued development and/or promotion of experimental projects that encourage performance evaluations of promising new technologies relative to:

- Rapid testing techniques and equipment that address more timely material approvals on highway projects.
- Asphalt additives designed to improve the quality of asphalt.
- Pavement drainage designs that prevent pavement deterioration due to intrusion of water.
- Ice detection and warning systems to enhance highway safety during periods of inclement weather.

In fiscal year 1991, $3,000,000 will be used for demonstration and experimental activities. The balance of TAD funds, $775,000 will be used to support technology assessment activities, including tests and evaluations, marketing analyses, and preparations of marketing plans.

(dollar amounts in thousands)

	FY 1990	FY 1991
C. Policy and Planning	$ 1,201	$ 2,000
1. Policy Analysis and Information Management	774	1,310

Accomplishments in Fiscal Year 1989 and 1990

Recent accomplishments under the Policy Analysis project include development of a modeling system to provide an improved economic foundation for highway needs estimates, analyses of impacts of truck size and weight and user fee policy options, development of improved methods for analyzing economic impacts of highway investment, refinement of methods used to estimate future highway user revenues accruing to the Highway Trust Fund, development and enhancement of systems to facilitate the retrieval and analysis of highway-related data, and support for development of the census transportation planning package and the Nationwide Personal Transportation Study.

Planned Activities and Accomplishments for Fiscal Year 1991

With the Interstate Highway System to be completed in the early 1990's, it is necessary to explore potential changes in the structure, delivery, and funding of the Federal-aid highway program. Collection and analysis of the most current data on highway characteristics, performance, and use are required to evaluate policy alternatives for the post-Interstate program. Specific activities include:

- Refinements to methods used in estimating highway program needs to produce more complete assignments of anticipated changes in highway condition and performance associated with different highway program investment levels.

- Improved methods for accessing, disseminating, and analyzing data on highway characteristics, use, and performance.

Future accomplishments expected from the Policy Analysis project include analysis of (1) highway policy issues for the post-Interstate Federal-aid highway program; (2) alternative highway revenue sources; (3) intermodal trucking issues; (4) highway cost allocation issues; and (5) issues affecting long-run highway transportation requirements. The Information Analysis project will continue to be targeted on ensuring that efficient procedures are available for electronic dissemination of highway characteristics data, that reliable highway information data bases are readily accessible, and that computerized procedures exist for the effective analyses of those data bases.

(dollar amounts in thousands)

	FY 1990	FY 1991
2. Planning	$ 427	$ 690

Accomplishments in Fiscal Year 1989 and Fiscal Year 1990

Transportation analysis procedures were improved to better support State and local transportation planning, highway investment analysis, and project development activities. This included microcomputer applications, bridge needs modeling, Highway Performance Monitoring System (HPMS) improvements, analysis of transportation/urban form relationships, simplification of highway pavement loading estimation, financial forecasting methods and geographic information systems for transportation planning. Projects were initiated in analyzing the consequences of alternative mixes of highway supply and evaluating State economic development highway systems.

Planned Activities and Accomplishments for 1991

Improvement of the Nation's highway system will be necessary to maintain mobility and economic viability of States and urban regions. Therefore, the Office of Planning has developed a multi-year contract research program oriented toward developing methods and procedures to use in planning for improved performance of highway systems in the future. The program is structured into three major research areas: (1) Urban Development and System Performance, (2) Methods to Maximize the Cost-Efficient Use of Financial Resources, and (3) Tools and Data Systems. A fourth major category of research, Economic Analysis, will be conducted cooperatively with the Office of Policy Development under their multi-year research program on Economic Impact of Highway Investment. Complementing this will be a focused effort to update our understanding of the root cause of congestion and the development of potential long-term solutions to future urban mobility problems and the economic efficiency of these solutions.

The centerpiece for our program is the HPNPA titled, **Ensuring the Efficiency of Future Urban Transportation Systems**. Elements of the first multi-year research area, Urban Development and System Performance, comprise most of the activities to be conducted under this HPNPA. This HPNPA addresses a critically needed research program to help broaden our search for solutions to the problems associated with the dramatic rise in congestion levels in major metropolitan areas. Research under this HPNPA will help update our understanding of the interactions between land use and transportation facilities and appropriate transportation investment levels and their impacts on the urban area's economy. The program will also develop innovative approaches and methods for planning that will emphasize cost-effective use of existing transportation facilities, management of demand to reduce the need for new facilities, and cost-effective additions to system supply.

Other contract research under our comprehensive multi-year program will focus on developing methods for improved performance-monitoring of the Nation's highways and bridges, methods for infrastructure management, better investment analysis methods and financing mechanisms, and improved analytical methods and data systems for State and local planning applications.

(dollar amounts in thousands)

	FY 1990	FY 1991
II. **Intelligent Vehicle/Highway Systems**	$ 2,333	$13,000

Highway operators are facing serious challenges in efforts to maintain mobility and a high level of safety. Phenomenal growth of traffic volumes in urban areas, an increase in highway fatalities, and serious predictions of harmful air pollution require that Federal, State, and local governments, in cooperation with the private sector, apply advanced technology to these problems.

As indicated in the following conceptual diagram on the following page, the IVHS program is focused on advanced technology applications in four areas:

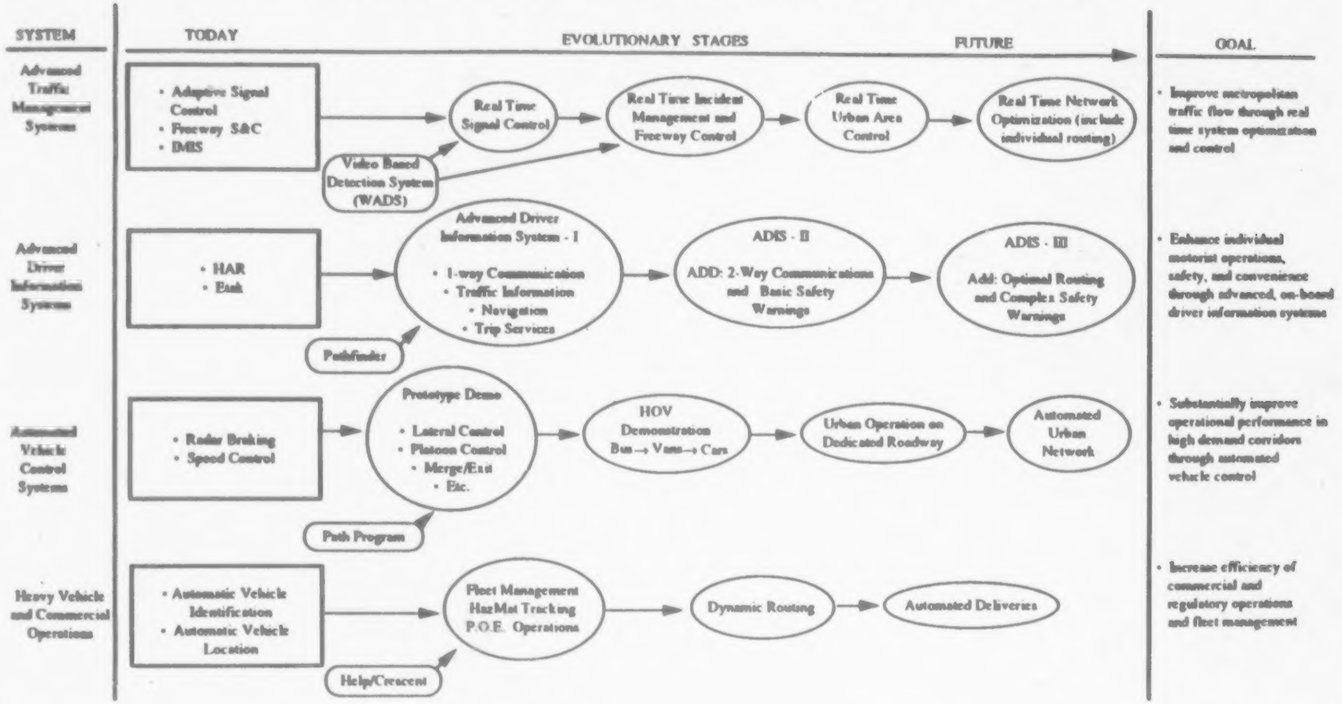
- Advanced Transportation Management Systems.
- Advanced Driver Information Systems.
- Automated Vehicle Control.
- Heavy Vehicle and Commercial Operations.

Often described as a program of smart vehicles and smart highways, the program requires major private industry involvement and advancements on the vehicle side, and major government involvement to provide the safe and coordinated highway infrastructure. For example, the Federal Government's interest includes standards, safety, and regulatory issues, while industry would be expected to focus on design, manufacture, and marketing of hardware systems and components. Successful integration of these elements, and working with State and local highway agencies to provide the highway support structure, will require a long-term research, development, and deployment program.

The fiscal year 1991 budget is presented for two essential elements of the program: (1) research and development to advance the necessary systems technology, and (2) operational applications to begin the creation of the necessary highway components which support the advanced systems. Major benefits expected from the program include:

- Reduction of highway accidents and injuries.
- Reduction of traffic congestion.
- Improved air quality.
- Economic and employment benefits through an enhanced international competitiveness for U.S. products.

INTELLIGENT VEHICLE/HIGHWAY SYSTEMS


SYSTEM
TODAY
EVOLUTIONARY STAGES
FUTURE
GOAL
Advanced Traffic Management Systems
• Adaptive Signal Control
• Freeway S&C
• IMIS
Video Based Detection System (WADS)
Real Time Signal Control
Real Time Incident Management and Freeway Control
Real Time Urban Area Control
Real Time Network Optimization (include individual routing)
• Improve metropolitan traffic flow through real time system optimization and control
Advanced Driver Information Systems
• HAR
• Etak
Pathfinder
Advanced Driver Information System - I
• 1-way Communication
• Traffic Information
• Navigation
• Trip Services
ADIS - II
ADD: 2-Way Communications and Basic Safety Warnings
ADIS - III
Add: Optimal Routing and Complex Safety Warnings
• Enhance individual motorist operations, safety, and convenience through advanced, on-board driver information systems
Automated Vehicle Control Systems
• Radar Braking
• Speed Control
Path Program
Prototype Demo
• Lateral Control
• Platoon Control
• Merge/Exit
• Etc.
HOV Demonstration Bus → Vans → Cars
Urban Operation on Dedicated Roadway
Automated Urban Network
• Substantially improve operational performance in high demand corridors through automated vehicle control
Heavy Vehicle and Commercial Operations
• Automatic Vehicle Identification
• Automatic Vehicle Location
Help/Crescent
Fleet Management
HazMat Tracking
P.O.E. Operations
Dynamic Routing
Automated Deliveries
• Increase efficiency of commercial and regulatory operations and fleet management

(dollar amounts in thousands)

	FY 1990	FY 1991
A. Research and Development	$ 2,333	$9,000
1. Advanced Traffic Management Systems	$ 0	$3,000

The development of advanced real-time traffic management systems and control strategies is aimed at achieving maximum traffic movement efficiency in high demand metropolitan and rural corridors. In fiscal year 1991, algorithms for automatically detecting capacity-reducing incidents, and models to predict the degree to which traffic will divert to other routes will be developed. The potential of advanced methods to provide trip planning information will be analyzed. A signal timing optimization model for vehicle-actuated traffic signals will reduce unnecessary delay at these types of signals, which are prevalent in suburban and rural areas. Expert systems will be developed to aid practitioners in selecting appropriate traffic models, provide guidance in their use, provide assistance in collecting and analyzing traffic data, and advice on the conduct of "before-and-after" studies.

(dollar amounts in thousands)

	FY 1990	FY 1991
2. Advanced Driver Information Systems	$ 2,333	$ 5,000

These systems will incorporate advanced in-vehicle capabilities and communication with the roadside to enhance individual motorist travel through the provision of information on navigation, traffic conditions, location of traffic disruptions, presence of hazards, and optimal routing. Accomplishments in FY 1990 included modifications to existing simulation models which will enable them to be used as a basis for routing information to drivers. Activities for fiscal year 1991 will include a cooperative field assessment of vehicle-based tracking systems for improved detection of traffic conditions, design of communications interfaces between vehicle and roadside, and determination of the specific types and forms of information which are amenable for incorporation into such systems. Additional funding is also requested for the second site for a cooperative field experiment of a real-time in-vehicle highway navigation and motorist information system as part of "TRAVTEK", in cooperation with General Motors, and the American Automobile Association. This will enable a more comprehensive field experiment/assessment at a site with different traffic and geometric characteristics from the "Pathfinder" site in Los Angeles. The second site is expected to be at Orlando, Florida, in cooperation with the Florida Department of Transportation.

(dollar amounts in thousands)

	FY 1990	FY 1991
3. Automated Vehicle/ Highway Control	$ 0	$ 500

The application of advanced sensing, communications, and automation technology will result in the development of automated vehicle/highway control systems with such features as automated object detection and collision avoidance, automatic steering, and headway maintenance. The latter will greatly increase capacity by safely allowing close headways at high speed. In addition, such systems will enhance trip predictability, safety, and convenience in high demand urban corridors as well as on intercity and rural highways. An initial assessment of potential technologies (both foreign and domestic) and alternative approaches to aiding drivers and automating control will be performed from the point of view of safety, operational stability, and public acceptance, among other things.

(dollar amounts in thousands)

	FY 1990	FY 1991
4. Heavy Vehicle Commercial Operations	$ 0	$ 500

Operational efficiency and safety will be increased through the application of advanced technology to heavy vehicle operations. Improvements in productivity and the highway environment should benefit carriers and the public, respectively. Initial research in fiscal year 1991 on developing technology for heavy vehicle operations will begin work in the detection of driver fatigue, disabled vehicles (via beacons), and the tracking of hazardous cargos. Principal activity will be focused on the Crescent Project as a field operational demonstration of the technology.

(dollar amounts in thousands)

	FY 1990	FY 1991
B. Operational Applications	$ 0	$ 4,000
1. Advanced Traffic Management Strategies Operational Demonstrations	$ 0	$ 2,250

Three major activities are proposed under this item:

- Field Demonstrations of New Strategies--As new and improved traffic control strategies are developed by research projects, the timely field demonstrations of these strategies in a live operational setting is necessary before widespread deployment can be expected. A number of large metropolitan areas will be selected for testing, evaluating, and reporting on the effectiveness of prototype technology. In fiscal year 1991, two sites would be provided $500,000 each to purchase essential hardware and software, and to provide staffing to perform selected tests and evaluations. The reports provided would greatly aid FHWA's efforts to market the use of new technology by other metropolitan areas. Candidate sites include Anaheim, Detroit, Houston, Los Angeles, Minneapolis, Seattle, and others.

- Phase II Urban Congestion Field Applications--During fiscal year 1989, FHWA implemented a series of field applications to move more aggressively Oagainst urban congestion. The overall objective was to document and evaluate a variety of incident management programs and integrated system strategies to more effectively promote these concepts across the country. Projects were implemented in Minneapolis, Minnesota; Northern Virginia/ Maryland; Seattle, Washington; and Anaheim, California. It is proposed to continue this objective into several other major metropolitan areas and, in addition, extend the application to medium-size cities such as Richmond, Virginia; Spokane, Washington; and Ft. Worth, Texas; and to include other IVHS technologies.

- Demonstration of a Freeway Incident Management Program--The development of this demonstration project began in fiscal year 1989 and will continue in fiscal year 1991. The objective of this project is to demonstrate through workshops and on-site applications in candidate cities proven methods and techniques for the detection, response, and clearance of highway incidents and the management of traffic and communications during the handling of traffic incidents ranging from stalled vehicles to major accidents. The project will show how quick response to incidents by enforcement, emergency medical, hazardous material, fire, traffic engineering and other officials on incident response teams can significantly reduce overall delay related to incidents. One of the greatest benefits of this project will be to promote the need for interagency coordination and cooperation, without which effective incident management cannot be achieved.

(dollar amounts in thousands)

	FY 1990	FY 1991
2. Traffic Control Systems Operational Planning and Design	$ 0	$ 400

Because the concept of integrated area-wide traffic control system planning is new to virtually all areas of the country, fiscal year 1991 funds would be used to help two or more areas begin the process of advanced system installation, and additionally, result in model documents that could guide other areas which in the future may be involved in a similar process. The studies could address, for example, agreements among local, State, and Federal agencies; determining funding needs and sources; agency commitments to adequately staff and fund system maintenance; development of incident management plans, etc.

(dollar amounts in thousands)

	FY 1990	FY 1991
3. Traffic Management Quality Assurance	$ 0	$ 350

Traffic Management systems have demonstrated their potential to reduce congestion and improve safety. However, quality assurance is not being adequately reflected in the planning, design, installation and operation of these systems. The lack of effective quality assurance is seen as related to management and process deficiencies, and not to the quality of the traffic control hardware being provided by the manufacturers. Using staff resources, the FHWA initiated a program of traffic management system quality assurance in late fiscal year 1989. As part of this program, examinations are being made of the processes used by several States and cities to plan, design, install, and maintain traffic management systems. It is proposed to follow-up on this staff effort in fiscal year 1991 by hiring a consultant to visit several locations and explore in depth their system operation and maintenance practices. The consultant will make recommendations to the local agency on how to improve their practices, and a case study report will be produced for general distribution.

(dollar amounts in thousands)

	FY 1990	FY 1991
4. Demonstration and Implementation of Geographic Information System (GIS)/Video Imagery System Technology	$ 0	$ 1,000

The development of a demonstration project was initiated in 1987, and it will continue. The objective of this demonstration project is to promote and encourage the adoption and use of the GIS as a concept in data management which will enable a State to use locations to integrate and relate its highway-related data bases. Enhancement of a GIS with video imagery technology maximizes the benefits possible. This project not only promotes the concept of a GIS, but the latest off-the-shelf technology available to States for immediate use.

In addition to the demonstration, it is proposed to provide technical assistance to the States in the form of consultant services to assist in the planning, design, and application of GIS/video imagery technology. It is expected that about 15 States would participate in this program in fiscal year 1991.

(dollar amounts in thousands)

	FY 1990	FY 1991
III. **National Highway Institute** (Short Course Program)	$ 1,361	$ 1,361

The NHI will serve as the principal source for presenting the leading edge of highway technology to Federal, State, and local highway agencies as well as the national, international, and private sector organizations that are essential to highway transportation. The budget for NHI emphasizes the continuation of the **Short Course Program** ($1,361,000 annual funds) which provides specific high technology training courses to highway engineers and technical staff to keep them current with the newest technology, tests, procedures, and operations techniques. The demand from the States for this training has increased steadily since 1987. The NHI is attempting to increase the number of courses in this program that are related to safety and the infrastructure.

During the previous 4 years the short course budget has remained constant at $1,361,000, plus income from fees. This money was used to both develop and present short courses of 1 to 5 days in length. From fiscal year 1985 through fiscal year 1989, the number of courses presented has risen from 212 to 419. Demand is projected to increase an additional 15 percent each year through 1995. The above amount, plus reimbursements from course fees (projected to be $1,400,000), will be required in fiscal year 1991 to meet the increasing demand for presentation of existing short courses. The NHI has an inventory of about 75 different courses. Each year, it adds 8 to 10 new courses and drops an equal number. No new courses will be added this year in deference to the increased demand for existing courses.

(dollar amounts in thousands)

	FY 1990	FY 1991
IV. Rural Technical Assistance Program	$ 3,689	$ 3,350

From its beginning in 1982, the Rural Technical Assistance Program (RTAP) has grown from 12 projects to 87. Among the original 12 projects was one that established 10 technology transfer centers. These centers provide both a channel through which technology transfer materials may flow to local transportation agencies, and facilitate assimilation and application of that technology. There are 46 Centers with the potential for the number to increase to 48.

The RTAP was funded at $5.0 million per year through 1985 and at a reduced level since 1986. To make room in the annual budget for the increased number of centers and to extend the program coverage, a requirement that RTAP funds be matched 50/50 was implemented in fiscal year 1987. The average center budget for 1989 required approximately $90,000 in RTAP funds. The corresponding amount used in fiscal year 1990 was approximately $81,000 and the funding level planned for this RTAP project in fiscal year 1991 averages about $68,000 per center.

It is clear the program has been cost-effective. Not only has the Federal dollars been equally matched by local funds but a direct cost savings resulting from the program in excess of $20 million was identified for fiscal year 1988. The technology needs of local governments continue to expand and, in the longer term, funding support for operating the technology transfer centers will need to be increased while maintaining the other parts of the program.

(dollar amounts in thousands)

	FY 1990	FY 1991
V. University Transportation Centers Program	$ 4,985	$ 5,000

This program, authorized by Section 314 of the Surface Transportation and Uniform Relocation Assistance Act of 1987, called for the establishment of Centers in each of the 10 Federal Regions. These Centers have been established from the Mass Transit Account of the Highway Trust Fund. The Act also authorized an additional $5 million from the Highway Trust Fund other than the Mass Transit Account, but Congress due to a technical drafting error failed to provide contract authority for the second increment, FHWA's contribution.

During the evaluations of the first year Centers Programs, three areas were found that needed strengthening. First, many of the programs at the Centers included a wide range of relatively small projects with levels of effort that were too low to produce optimal results. Second, the amount of resources devoted to transit projects was inadequate. Third, education and training programs were very small compared to the research efforts. These findings are partly a reflection of the level of funding in the first two years of the program.

To further address and to strengthen the educational component of the Center Program, the Centers are establishing Institutes. Each Institute will include undergraduate and graduate level study and research projects consistent with the overall theme adopted by the host Center. Also, the Institute will carry out a program of technology transfer. The objective of the Institutes is to produce highly skilled and knowledgeable professionals to meet the transportation needs of the year 2000 and beyond. The Institutes would have comprehensive education and research activities that focus significant levels of resources on mutually agreed to themes that fit within the Centers' expertise and that meet the needs of the region where the center resides.

The expanded and more complex activities for Fiscal Years 1990 and 1991 will require the full funding as initially envisioned by Congress.

(dollar amounts in thousands)

	FY 1990	FY 1991
VI. Motor Carrier Research Program	$ 1,267	$ 1,782

This program is funded from General Funds of the Treasury and is therefore contained and justified under the Motor Carrier Safety portion of this budget.

Summary

The fiscal year 1991 FHWA Science and Technology program is presented as a transition from the highway construction orientation of the Interstate Highway System program to the operations and technological orientation expected in the 1990's and beyond. Substantial budget increases have been requested to identify, develop, and deliver essential technology to reduce traffic congestion, reduce traffic accidents and fatalities, repair and rehabilitate failing highway pavements and structures, improve commercial vehicle operations, and respond to renewed concerns about the environment. Major features of the program include:

- A new Intelligent Vehicle/Highway Systems program to apply existing technology to alleviate congestion, safety and air quality problems, and to maintain the competitiveness of U.S. highway products in the international marketplace.
- Recognition that human factors issues must be addressed for older drivers, commercial drivers, and for new vehicle technologies, and that sophisticated, state-of-the-art equipment must be available to support this activity.
- A training program centered around bringing new technologies to the highway users.

- Cooperative research activities involving other Federal agencies, State and local governments, and the private sector.

Initiation of these activities in fiscal year 1991 is essential for a safe, efficient, and vital highway system which provides the mobility necessary to support the U.S. economy and lifestyle.

MINORITY BUSINESS ENTERPRISE/SUPPORTIVE SERVICES

	FY 1990	FY 1991
Program Level	6,845	7,900
Less: Unobligated Carryover	1,245	0
Requested Level	5,600	7,900

Accomplishments FY 1988 and FY 1989

The objective of this supportive services program is to provide DBE's with adequate training and assistance so they can successfully participate in the Federal-aid highway program. Funds are made available under 23 U.S.C. 140(c) to develop, conduct, and administer training programs and assistance programs in order that minority and women businesses may achieve proficiency to compete, on an equal basis, for contracts and subcontracts. During FY 1988, 13,467 contracts and subcontracts were awarded and committed to DBE's in the amount of $1.63 billion. For FY 19989, $9.6 million will be obligated for supportive services activities.

Planned Accomplishments for FY 1990 and FY 1991

The primary goal of the MBE supportive services program is to increase the level of minority and women businesses participation in Federal-aid contract work. The goal of participation may be achieved by providing assistance that accomplishes two objectives: (1) to increase the total number of minority and women firms active in the highway program and (2) to contribute to the growth and eventual self-sufficiency of individual minority and women firms.

It is proposed to provide training and supportive service assistance to DBE's, necessary for their successful participation in the Federal-aid highway program. To accomplish this, we plan to allocate to the States, approximately $7.8 and $7.9 million in fiscal years 1990 and 1991 respectively. This allocation will fund supportive services designed to increase the total number of DBE's active in the highway program and contribute to the growth and eventual self-sufficiency of individual DBE's so that they achieve proficiency to compete on an equal basis for contracts and subcontracts.

INTERJURISDICTIONAL TRUCKING PROGRAM

	FY 1990	FY 1991
Program Level	410	150
Less: Unobligated carryover	260	...
Requested Level	150	150

Background

Increased costs, paperwork burdens, and time delays have spurred complaints from the interstate trucking industry to Congress about the myriad of State regulations governing the taxation of the motor carrier industry. Regulations differ greatly from State-to-State. A carrier is often required to contact many different offices within each State to obtain the necessary permits and credentials to travel in that State.

The 1973-1974 truckers strike brought these problems to the attention of the Department of Transportation (DOT). A DOT task force was established to focus on these problems. Section 19 of the Motor Carrier Act of 1980 mandated further study of the problem. The conclusions of the Section 19 study substantiated the trucking industry's complaints about the lack of uniformity among State motor carrier procedures. As a result, Congress charged the DOT with the task of providing "legislative and/or other recommendations" for the solution of the problem. This mandate led to the formal establishment by the Federal Highway Administration (FHWA) of an Interjurisdictional Trucking Program (ITP) in 1980 to foster greater uniformity and simplicity of State truck regulations and procedures.

In the early 1980's deregulation of many aspects of the motor carrier industry, as well as the railroad industry, increased the pressures on the motor carriers to reduce costs. As the competition increased, interest grew for cutting the costs associated with State regulation of the carriers. Progress was being made to simplify vehicle registration with the International Registration Plan (IRP), but motor carriers wanted and needed progress in other areas as well. In 1984, the Governors also responded to the need for greater State initiatives by establishing the National Governcr's Association (NGA) Working Group on State Motor Carrier Procedures.

Accomplishments- FY 1988 and Prior

In past years, much of the ITP focused on improving uniformity in State motor carrier procedures through a contract with the NGA. The NGA project produced a series of policy recommendations for standardizing State licensing and taxation procedures for vehicle registration and fuel tax reporting. In addition, NGA advanced efforts to promote more widespread implementation of State motor carrier advisory committees and one-stop operations. In the area of vehicle registration, FHWA focused on providing support for promotion of the IRP and the development and

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implementation of a computer-aided management information system, called the International Registration Information System (IRIS). The IRIS system was designed to assist the States in handling an increased motor vehicle registration information base associated with membership into the IRP.

Current ITP Initiatives (FY 1989-90)

The present activities of the ITP focus on promoting and implementing a uniform set of truck accident data elements/definitions through December 31, 1989. To aid in the implementation effort FHWA is also developing training for State and local police to teach them how to accurately and reliably collect truck accident data in a uniform manner. In addition, ITP monies are currently being used in development of a course to teach standardized State auditing practices and encourage the use of multi-purpose or combined registration/fuel tax audits. They are also being used to fund the development of a model oversize/overweight truck permit agreement.

Accomplishments Planned for FY 1991 and Future

Accomplishments planned for FY 1991 include continued support for implementation of a minimum and uniform set of truck accident data to be collected by all States; working to obtain more standardized base-State registration and fuel tax audit practices within the States; and promotion of a uniform oversize/overweight truck permit agreement.

NATIONWIDE TRUCK ACTIVITY AND COMMODITY SURVEYS
(in thousands)

	FY 1990	FY 1991
Program level	361	250
Less unobligated carryover	154	...
Requested level	207	250

Background

The FHWA requires data on highway use for congressionally mandated studies, regulatory impact assessments, and the development of policies related to motor vehicle sizes and weights, commercial carrier operating restrictions, user charges, apportionments, cost responsibility, highway investment needs, and the economic productivity of the highway transportation system. Some of the required data were eliminated with reductions in economic regulation of the motor carrier industry, and existing data sources cannot be integrated for effective policy analyses without additional information on commodity flows and vehicle activity patterns.

Objectives and approach

The objectives of this budget category are to:

- Develop cost-effective, nationwide data collection and analysis activities to monitor the amount and locations of commodity flows and truck activity; and
- Develop methods to integrate, validate, and provide access to these critical trucking data for use by Federal, State, and local agencies to support analyses of highway user charges, truck size and weight limits, and other issues affecting highway transportation.

The Nationwide Truck Activity and Commodity Survey (NTACS) has been funded to monitor the geography of commodity movements by truck; to measure truck operating characteristics in required detail for policy studies; and to provide cost-effective links among data bases developed from the Truck Inventory and Use Survey (TIUS) and other sources. Procedures have been developed to integrate the TIUS and NTACS data with other policy models and data bases of the FHWA.

Accomplishments through FY 1990

The first NTACS has been tested and implemented. Methods have been developed to perform analyses of the NTACS data and to integrate data from the NTACS and other sources. Results of the 1987 TIUS and the the first NTACS are being analyzed to support major legislative deliberations and to support planning for the 1992 Economic Census.

Planned accomplishments in FY 1991

Evaluation and development of the methods for utilization of NTACS data are required to support continuing FHWA analyses of highway investment needs, truck use policies such as size and weight limits, and highway user fee proposals. Funds are required in FY 1991 to implement the comprehensive data base for FHWA evaluations of highway investment needs, truck use policies such as size and weight limits, highway user fee proposals, congressionally mandated studies, and major legislative proposals for redirecting the Federal-aid highway program following completion of the Interstate System.

HIGHWAY USE TAX EVASION PROJECT

(In Thousands of Dollars)

	FY 1990	FY 1991
Program Level	500	2,000
Less: Unobligated Carryover	...	...
Requested Level	500	2,000

BACKGROUND

Considerable revenue is lost to the Highway Trust Fund (HTF) each year from tax evasion. At an oversight hearing on gas tax evasion before the Ways and Means Committee in July, 1986, Justice Department representatives estimated losses through evasion in excess of $500 million. Other witnesses estimated losses at more than $1 billion. Losses to diesel tax evasion have also been estimated at approximately $1 billion per year.

Recent legislative changes have been made to reduce gasoline and diesel excise tax evasion. In 1985, the Internal Revenue Service (IRS) implemented a proof of payment requirement on the Heavy Vehicle Use Tax (HVUT), the Tax Reform Act of 1986 raised the point of taxation on gasoline, and the Omnibus Budget Reconciliation Act of 1987 raised the point of taxation on diesel fuel. The proof of payment mechanism, which requires the States to withhold vehicle registration from taxpayers without proof of HVUT filing, has greatly helped in identifying taxpayers. The fuel tax revisions lowered the number of taxpayers, thus reducing the burden on available IRS resources. However, several State fuel tax administrators have remarked that during recent State fuel tax audits there has been no evidence of the Federal tax being paid. If a taxpayer does not file, generally, the IRS does not know he exists. Greater audit resources are needed to stop this problem. Very recent enforcement work by IRS and the Department of Justice has revealed that the profits from evasion are still worth the risk, and evasion, therefore, is still a large problem.

OBJECTIVES AND APPROACH

This budget proposal builds on recent steps to improve equity and minimize evasion by providing funds to sustain efforts by the States and IRS for collecting all Federal highway use taxes, especially the diesel fuel excise tax. Two million dollars in no-year funds are requested for this purpose. The funds would be used by the FHWA to continue recent initiatives to support new State enforcement activities in cooperation with the IRS, by providing for improved taxpayer audit coverage and by facilitating special efforts to identify those evading taxes completely. While State enforcement efforts will be improved by these projects, the agreements will provide the basis for increased enforcement of Federal excise taxes. The States can provide better evidence of evasion because they generally have tighter audit procedures than does the Federal government.

ACCOMPLISHMENTS TO DATE

The first phase of this program, which involves two multistate project agreements, will be implemented in 1990. The results and lessons learned in establishing and early implemention of the two projects will be used to strengthen the program in FY 1991.

PLANNED ACCOMPLISHMENTS IN FY 1991

Steps will be taken to establish guidelines for implementing additional multistate tax evasion project agreements in other IRS Districts between FHWA, the States, and IRS to increase HTF revenue by improving fuel excise tax compliance at both State and Federal levels. Additional agreements would expand on the increased enforcement of Federal highway excise taxes initiated and implemented in FY 1990 and FY 1991.

SUPPORT FOR INTERNATIONAL TRANSPORTATION ACTIVITIES

	(in thousands) FY 1990	FY 1991
Program level	...	$ 25
Less unobligated carryover	...	...
Requested level	...	$ 25

Background

The Federal Highway Administration's international activities have increased substantially. The agency hosts numerous delegations from foreign countries and international organizations and we are increasing cooperative technical exchange activities with Eastern Europe and the Soviet Union. We are also presenting more exhibits at international conferences, such as the Permanent International Association of Road Congresses world conference which will convene in Marrakech, Morocco, in FY 1991.

Objectives and approach

This line item would provide contractual support to activities associated with foreign international cooperation and technology sharing with foreign governments, such as hosting international technical committees and foreign delegations and staging exhibits at meetings of international transportation organizations.

Accomplishments to date

Not applicable - new line item

Planned accomplishments in FY 1991

- o Present the United States Highway Technology Exhibit at the PIARC conference in Marrakech,
- o Host delegations from numerous foreign countries, and
- o Hosting two PIARC technical commitees in the U.S.

HIGHWAY USAGE DATA ACTIVITIES
(in thousands)

	FY 1990	FY 1991
Program level	...	500
Less unobligated carryover	...	...
Requested level	...	500

Background

Over the past few years, the demand for highway usage data to support FHWA activities has increased dramatically. This type of data includes information on counts, classification, vehicle weight, motor fuel consumption, and personal travel trends. Better data of this type is vital to the Highway Performance Monitoring System (HPMS), the implementation of the FHWA Pavement Policy, weight enforcement programs, the SHRP program, a variety of auto and truck safety analyses, revenue studies, urban congestion evaluations, and a wide variety of policy analyses. Additionally, the trend toward using such data in the Federal-aid apportionment process continues. As a result, it has become prudent to expand our technical capabilities and analysis tools in these areas.

Objectives and Approach

The objectives of this budget category are to:

- improve the collection and analysis of highway usage data at both the State and Federal levels through the development of state-of-the-art computer software and hardware configurations;
- update and expand our knowledge of the personal travel patterns of the American public through continuation and refinement of the Nationwide Personal Transportation Study (NPTS);
- develop and implement technology to display and disseminate such highway usage data to a wide variety of users.

Accomplishments to Date

Not applicable--new line item.

Planned Accomplishments in FY 1991

FY 1991 initiatives will be directed toward more efficient handling of traffic data at both the State and Federal levels. Emphasis will be on procedures to handle the huge quantities of data made available by new continuous monitoring of vehicle speeds, classification, and weigh-in-motion. Expert system approaches for handling such data will be analyzed. Analysis of the 1990 NPTS will be initiated with the objective of making results available quickly in both printed and electronic media. An activity will be initiated to refine the State-Federal program of monitoring motor fuel consumption coordinated with and building on other initiatives to improve State and Federal motor fuel tax collection. Finally, our program for electronic data collection and dissemination will be enhanced by the incorporation of new data series and by building in additional user flexibility.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
LIMITATION ON GENERAL OPERATING EXPENSES

Program and Financing

	1989 actual	1990 est	1991 est.
Program by activities:			
Program direction and coordination:			
Executive direction	1,118	1,185	1,244
Program review	394	419	440
Legal services	2,157	2,295	2,410
Public Affairs	137	145	153
Civil Rights	1,009	1,074	1,128
General program support:			
Policy	5,324	5,819	5,985
Research, development, and Technology	30,659	38,028	59,730
Administrative support	52,110	55,477	58,361
National Hwy. Institute	2,558	1,361	2,722
Career development programs	6,690	7,120	7,477
Highway programs:			
Engineering and program development	14,717	16,992	12,122
Right-of-way and Environment	3,434	3,655	3,838
Safety and Traffic Operations	3,762	4,003	4,204
Motor Carriers	1,462	1,768	1,338
Construction skill training and minority business enterprise	10,338	8,062	7,900
Bonding demonstration program	35	12	....
Field operations	85,329	90,903	95,412
Total obligations	221,233	238,318	264,470

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
LIMITATION ON GENERAL OPERATING EXPENSES

Program and Financing

	1989 actual	1990 est.	1991 est.
Financing:			
Offsetting collections from Federal funds	(2,893)	...	...
Unobligated balance available, start of year	(6,010)	(5,020)	...
Unobligated balance available, end of year	5,020	...	...
Limitation	217,350	233,298	264,470
Relation of obligations to outlays:			
Obligations incurred, net	221,233	238,318	264,470
Obligated balance, start of year	268,455	296,834	329,429
Obligated balance, end of year	(296,834)	(329,429)	(350,691)
Outlays from limitations	192,854	205,723	243,208

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
LIMITATION ON GENERAL OPERATING EXPENSES

Object Classification (in thousands of dollars)

		1989 actual	1990 est.	1991 est.
	Personnel compensation:			
11.1	Full-time permanent........	107,334	111,231	116,756
11.3	Other than full-time permanent................	2,409	3,681	3,841
11.5	Other personnel compensation.............	3,228	2,151	2,230
11.9	Total personnel compensation.........	112,971	117,063	122,827
12.1	Personnel benefits: Civilian..............	19,253	20,304	21,255
13.0	Benefits for former personnel..............	50	50	50
21.0	Travel and transportation of persons	6,364	7,297	7,560
22.0	Transportation of things...	1,156	1,450	1,502
23.1	Rental payments to GSA	11,501	13,739	14,234
23.2	Rental payments to others..	6,137	6,947	7,197
24.0	Printing and reproduction..	1,341	1,272	1,318
25.0	Other services	56,897	66,284	82,042
26.0	Supplies and materials.....	1,518	1,574	1,631
31.0	Equipment..................	4,041	2,338	4,854
42.0	Insurance claims and indemnities..............	4	...	...
93.0	Administrative expenses included in schedule as a whole..................	(221,233)	(238,318)	(264,470)
99.0	Total obligations........	...	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
LIMITATION ON GENERAL OPERATING EXPENSES

Personnel Summary

	1989 actual	1990 est.	1991 est.
Total number of full-time permanent positions	2,621	2,621	2,621
Total compensable workyears:			
Full-time equivalent employment	2,694	2,750	2,750
Full-time equivalent of overtime and holiday hours	13	13	13

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

For necessary expenses to carry out the motor carrier safety functions of the Secretary as authorized by the Department of Transportation Act (80 Stat. 939-940), [$33,690,000] $40,719,000 of which [$2,782,000] $1,782,000 shall remain available until expended.

(Department of Transportation and Related Agencies Appropriations Act, 1990.)

MOTOR CARRIER SAFETY
FY 1991 BUDGET REQUEST
(dollars in thousands)
CONGRESSIONAL REQUEST

	FY 1990 Approp.	Sequester	FY 1990 Approp Adj.	FY 1990 ADJUSTMENTS TO BASE: Ann. of Jan 90 Pay Act	Extra Comp. Day	Jan 91 Pay Act	Ann. of 90 Staff Increase	Change of Station	3.6% Inflation	Career Promotion	Non Recurring Items	FY 1990 Adjusted Base	FY 1991 CHANGES: Prog. Change	RED	TOTAL FY 1991 REQUEST
Personnel Resources															
FTP Positions	633		633									633			633
FTP FTE's	506	-14	492				92					584			584
All other ceiling	10		10									10			10
Exempt FTE's	0		0									0			0
Financial Resources:															
Salaries & Benefits	20,805	-361	20,444	706	80	660	2,436	836		1,000		26,258			26,258
Travel	3,813		3,813				372	66	130			4,381			4,381
Transportation	155		155					174	6			335			335
Rent	363		363						10			373			373
SLUC	-288		-288						-7			-295			-295
Other Rent	-75		-75						-3			-78			-78
Printing	50		50						2			52			52
Other Services:	-7,128	32	-7,091					-173	-156		1,402	-5,940	-900	-313	-7,353
Contract Program	1,282	-15	1,267						0			1,267		313	1,792
All Other	4,341		4,341					175	156			4,672	900		5,572
Operation Deacon	1,000	-12	988								-988	0			0
N. J. Demo	500	-6	494								-494	0			0
Supplies and Materials	171		171						6			177			177
Equipment	1,410		1,410			0			51			1,461	327		1,788
Total	33,600	-303	33,297	706	80	660	3,008	1,251	361	1,000	-1,402	38,977	1,227	313	40,719

Note:may not add due to rounding.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY

F.Y. 1991 PROGRAM OVERVIEW

	$000
Motor Carrier Operations	$38,937

The Motor Carrier Safety program presented forthwith builds its' base upon a strong network of safety legislation, program direction and personnel and financial resources designed to promote, educate, monitor and regulate the Motor Carrier industry in providing for the safe transport of goods over the Nation's highways.

In 1986, Congress gave FHWA the approval for increased safety activity by authorizing the hiring of an additional 150 new safety inspectors. The full complement of this workforce has been successfully trained and are now conducting safety reviews and inspections nationwide. The FY 1990 Budget received approval for additional safety specialists and support staff. This budget builds upon the previous budgets and emphasizes enhanced support for the motor carrier safety mission through increased ADP resources and an expanded Research and Development effort.

With safety a prime administration and congressional emphasis area, program increases have been developed to provide maximum safety of transport by motor carriers while using the minimum amount of Federal resources to insure safe highways.

Research and Development Program	$1,782

The Research and Development Program for FY 1990 will focus on the technological and scientific aspects of motor carrier safety in order to provide data for regulatory and program responsibilities. Four areas are focused on in FY 1990; (1) Improving Stopping Capabilities; (2) Appropriate Medical Qualifications; (3) Driver Fatigue/Alertness; and (4) Information and Analysis.

The following justification will focus on two major areas of the Motor Carrier Safety budget: (1) Operations and (2) Research program.

MOTOR CARRIER SAFETY

FINANCIAL OVERVIEW

Funding analysis:

Budget Authority: (000's)	FY 1990 Appropriation (Adjusted)	FY 1991 Request
Salaries/benefits	20,444	26,258
Other Objects	10,104	12,679
Research and Development	1,267	1,782
Operation Deacon-Enhancement	988	...
New Jersey Drug-Free Demonstration	494	...
Total	33,297	40,719

The FY 1991 Motor Carrier Safety Budget Authority level is proposed at $40.719 million representing a $7.422 million increase over the FY 1990 appropriation adjusted. About three quarters of this increase represents costs associated with adjustments to base and built-in changes, the largest of which is the annualization of the FY 1990 staffing increase. Program increases for ADP support, ADP equipment, and R&D are also requested.

	$000's
Appropriation (Adjusted)	33,297
Adjustments to base: (+5,680)	
Annualization of January 1990 Pay Act	706
Extra Compensable Day	80
January 1991 Pay Act	666
Annualization of 1990 Staff Increase	3,008
Permanent Change of Station	1,251
Inflation	361
Career Promotions	1,090
Non-Recurring Items-Elimination of No-Year Items	-1,482
Program Changes: (+1,742)	
Other Services	900
Equipment	327
Research and Development	515
Total, 1991 Request	$40,719

NARRATIVE JUSTIFICATION

OPERATIONS

ADJUSTMENTS TO FY 1990 BASE $000

Pay Act Annualization +706

This increase includes $706 thousand for annualization of the January 1990 pay act.

Compensable Day +80

The amount required to pay salaries and benefits is computed based on, among other important factors such as salary rates, the number of compensable workdays in any given fiscal year. The amount included in the FY 1990 budget included salaries and benefits for only 260 workdays whereas FY 1991 must include funds for 261 compensable days; therefore, FHWA is requesting additional funds to cover the mandatory cost of this extra day.

Pay Act January 1991 +666

This increase includes $666 thousand of the 3.5 percent pay act proposed for January 1991.

Annualization of 1990 Staff Increase +3,008

The 1990 budget included 185 new positions and 93 full-time equivalents associated with the increased staffing. This adjustment would annualize the safety specialists (grade 7) and support staff (grade 5), and provide associated travel funds for a full year FY 1991.

Change of Station Increases +1,251

This increase reflects expected increments in contract costs associated with relocation services. This is expected due to rising housing prices and increased mobility of safety specialists.

Inflation +361

A 3.6 percent inflationary factor has been built into the FY 1990 base for most object classes which are expected to realize such cost increases.

Career Promotions +1,090

Many of the motor carrier safety specialists hired at the grade 5 or 7 level are reaching their target grade of grade 11. This results in increased costs for salaries and benefits.

Non-Recurring Item +1,482

This amount reflects the elimination in FY 1991 of two no-year items added by Congress in FY 1990. These are Operation Deacon Enhancement ($988 thousand) and New Jersey Drug Free Demonstration Program ($494 thousand).

PROGRAM CHANGES

Other Services +1,227

ADP Related Services +900

The planned Motor Carrier Management Information System of FY 1991 will provide information accurately and quickly, providing the basis for future expansion of computer processing capability. It will be composed of data submitted by the approximately 450 Motor Carrier field safety specialists, several thousand State enforcement officers and nearly 200,000 interstate motor carriers. Such a compilation of data demands resources for increased user support, data maintenance, and system operations to service a significantly larger "customer" base and provide more diverse information for federal, state, and private sector users.

FHWA is requesting funding for increased computer processing costs associated with supporting the increasing quantities of data, software development and system utilization. Typical of the many computer processing activities being funded are: maintaining efficient operations; error checking and combining data; developing new capabilities to accommodate future growth and operations; and troubleshooting.

An increase in requested funding for contractor support staff to attend to the tremendous number of varied tasks associated with the development, operation and maintenance of the large central data files and combining data from other sources. This includes such activities as managing day to day operations of the major, nationwide data system controlling and coordinating data transfers from and to over 100 remote locations throughout the United States, providing communications support to those locations, developing data interfaces and quality assurance procedures, and developing reports for monitoring motor carrier safety and system performance.

Two important commercial information services will be purchased during FY 1991. One is a subscription to a service that digests all state enacted laws. This will allow FHWA to monitor all state motor carrier safety and size and weight laws so that FHWA can more efficiently comply with the Federal statute regarding state uniformity and enforcement practices. The other commercial service provides and distributes continuously updated copies in computer readable format of Federal Motor Carrier Safety and Hazardous Materials regulations. These regulations will be loaded on to lap top computers used by the field staff and will provide rapid access to the most current version of federal regulations.

Maintenance charges will increase with the purchase of additional laptop microcomputers. Also, the addition of desktop microcomputers over the past three years will require increased maintenance and upgrades to continue to yield the advantage of current technology.

Equipment	+327

ADP Related Equipment

In FY 1991, FHWA will make a purchase of 130 laptop microcomputers, approaching the goal of equipping every specialist with field responsibilities with this up-to-date valuable tool. The estimated cost for this increase is $110 thousand.

Office automation needs of the headquarters office will begin to be met with procurement of microcomputer workstations, more powerful central microcomputers and cables necessary for local area networks. Current research will probably point to the use of this equipment as a viable method for less expensive and more accurate data entry. The total cost of this automation is about $300 thousand. $121 thousand is requested in FY 1991 to begin a two(2) phase-in of this project.

The additional requirement in FY 1991 will be for 9 super microcomputers, peripherals and software to support the laptop computers. Field investigators require several large and complex data bases to be maintained up-to-date to be most effective in conducting the reviews. This will be done by using the information transfer mechanisms which implies that large files will be exchanged with headquarters super microcomputers via "hub" super micros. The estimated cost for this increase is $86 thousand.

Finally, SAFETYNET data transfer will require enhanced and expanded hardware and software to improve the ability to exchange the increasing volumes of data with the States. The estimated cost for this increase is $10 thousand.

Research and Development	+515

The request would increase this activity by $515 thousand; justification is given in the R and D section.

MOTOR CARRIER SAFETY

SUMMARY OF ADP REQUIREMENTS

The following table is included facilitate a thorough understanding of the Motor Carrier Safety ADP request ($000):

	FY 1990	FY 1991	CHANGE FROM FY 1990
OBJECT CLASS:2500(OTHER SERVICES)	3,072	3,972	900
TCC(INCLUDING TONS)	2,300	2,650	350
Maintenance	20	30	10
Systems and Programming	412	902	490
Data Entry	340	340	0
Info. Services	0	50	50
OBJECT CLASS:3100(EQUIPMENT)	919	1,246	327
TOTAL,ADP Requirements	3,991	5,218	1,227

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER RESEARCH PROGRAM

Research Categories	(Dollars in Thousands) FY 1990	FY 1991	Difference
A. Improving Stopping Capabilities	$ 410	$ 300	($110)
B. Appropriate Medical Qualifications	350	200	(150)
C. Driver Fatigue/Alertness	0	500	500
D. Regulatory and Program	100	0	(100)
E. Information and Analysis	407	782	375
	$1,267	$1,782	515

OFFICE OF MOTOR CARRIERS RESEARCH PROGRAM

FY 1991 Budget Request

We are requesting $1.782 million for the Motor Carrier Research program in FY 1991. This is an increase of $515 thousand over the $1.267 million included in the President's FY 1990 budget.

This expanded program is essential to enhance our contracting efforts in the following critical areas: (1) heavy vehicle brakes; (2) medical qualifications of commercial vehicle drivers; (3) driver fatigue/alertness; and (4) motor carrier information and analysis. A more detailed explanation/justification of our requested increase is addressed below.

Accomplishments in FY 1989 and FY 1990

Heavy Vehicle Brakes-- The OMC is undertaking research on three major areas to improve the stopping distance and stability of heavy vehicles. They:

Evaluation of Out of Service Brake Adjustment Criteria -- The results will provide the basis for possible changes to the criteria and offer guidelines to different types of trucking operations.

Adequacy of Roadside Inspection Procedures -- The project will develop a procedure to determine the most cost-effective number and types of inspections and evaluate the adequacy of brake inspections procedures.

Medical Qualifications of Commercial Motor Vehicle Drivers -- This research will provide an up-to-date understanding of physical impairments. The major accomplishments in FY 1989 and FY 1990 include:

Conferences on Psychiatric and Respiratory Conditions and Commercial Drivers

Alternative Commercial Driver's License Training and Testing Format -- This research is needed to develop materials to educate and test individuals that are functionally illiterate regarding the provisions of the Commercial Motor Vehicle Safety Act.

Controlled Substance Use in the Industry -- This research project will assess the extent and nature of the use of controlled substances within the motor carrier industry.

Driver Fatigue and Alertness -- The OMC began research in 1988 to understand fatigue and related physiological factors, identify and promote countermeasures and evaluate the current hours-of-service standards in light of advances in medical science and the changing nature of the motor carrier industry.

Evaluate the Relationship Between the Operating Characteristics of Different Segments of the Motor Carrier Industry and Fatigue

Enforcement of Hours-of-Service Rules

Driver Fatigue/Alertness and Countermeasures -- This is a major 4 year research project supported by industry and of key concern to Congress.

Motor Carrier Information and Analysis -- This area is absolutely critical to increasing the effectiveness and efficiency of OMC's regulatory, educational and enforcement "activities" designed to improve commercial motor vehicle safety. The major accomplishments in FY 1989 and FY 1990 are:

> **SAFETYNET** -- SAFETYNET is a State motor carrier data system to help provide a complete picture of interstate trucks and buses. It includes data on accidents, inspections, and carrier reviews.
>
> **MOTOR CARRIER MANAGEMENT INFORMATION SYSTEM (MCMIS)** -- MCMIS is a computerized system of comprehensive safety performance records of individual motor carriers maintained principally for Federal and State use. The major efforts include: better quality assurance processes for the benefit of thousands of individuals and companies in the public and private sectors; a method to automatically monitor the safety of 200,000 motor carriers and to assure objectivity in assessing motor carrier operations; and provide technical support and training to the over 300 Federal motor carrier safety field staff.

Planned Activities and Accomplishments for FY 1991

With the increased level of funding the OMC will be able to continue and complete a number of projects in a timely manner, that otherwise would have been deferred or extended over a longer period of time. The major expected accomplishments are briefly described below for each category:

Heavy Vehicle Brakes -- The major results will include a report on the adequacy of brake adjustment criteria and another on automatic slack adjusters and indicators as well as a MCSAP Planning and Operations Guide. We are requesting $300,000 in FY 1991.

Medical Qualifications of Commercial Drivers -- The results of the survey of controlled substance use as well as recommended countermeasures will be completed. We are requesting $200,000 in FY 1991.

Driver Fatigue and Alertness -- In 1991 a simulator will be used to evaluate fatigue countermeasures and alternative hours-of-service. FHWA will continue this work for 2 years. We are requesting $500,000 in FY 1991.

Motor Carrier Information and Analysis -- Research will be increased to improve SAFETYNET and MCMIS. SAFETYNET will be improved by analysis and reporting of inspection and accident data. The MCMIS system will be augmented with an automated carrier compliance system, better quality and more efficient manipulation of data and more training and technical assistance on MCMIS for managers and safety specialists, We are requesting $782,000 in FY 1991.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

Program and Financing (in thousands of dollars)

Identification code: 69-0552-0-1-401	FY 1989	FY 1990	FY 1991
Program by Activities			
1. Operations	25,080	30,833	38,937
2. Research and Development	2,964	1,267	1,782
3. Drug Enforcement Demo prog.	...	1,483	...
10.00 Total obligations	28,044	33,582	40,719
Financing:			
21.40 Unobligated balance available, start of year	(1,328)	(285)	...
24.40 Unobligated balance available, end of year	285	...	...
39.00 Budget authority	27,000	33,297	40,719
Budget authority:			
40.00 Appropriation	27,000	33,690	40,719
40.00 Red pursuant to P.L.99-177	...	(393)	...
43.00 Appropriation(adjusted)	27,000	33,297	40,719

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

Program and Financing (in thousands of dollars)

idenification code: 69-0552-0-1-401	FY 1989	FY 1990	FY 1990
Relation of obligations to outlays:			
71.00 Obligations incurred, net..........	28,044	33,582	40,719
72.40 Obligated balance, start of year....................	4,807	8,530	8,682
74.40 Obligated balance, end of year..................	(8,530)	(8,682)	(7,798)
77.00 Adjustments in expired accounts..................	(223)	....	....
90.00 Outlays............................	24,098	33,429	41,613

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

idenification code: 69-0552-0-1-401	FY 1989	FY 1990	FY 1991
Personnel Compensation:			
11.1 Full-time permanent	13,262	15,905	19,658
11.3 Other than Full-time perm.	479	496	514
11.5 Other personnel compensation	467	484	501
11.9 Total personnel compensation	14,208	16,885	20,673
12.1 Personnel benefits: Civilian	3,289	3,844	5,585
21.0 Travel and transportation of persons	2,438	3,613	4,381
22.0 Transportation of things	188	155	335
23.1 Rental payments to GSA	2	288	295
23.2 Communication, utilities, and misc. charges	128	75	78
24.0 Printing and reproduction	43	50	52
25.0 Other services	7,214	7,091	7,355
26.0 Supplies and materials	128	171	177
31.0 Equipment	406	1,410	1,788
99.0 Total obligations	28,044	33,582	40,719

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY

Personnel Summary

Idenification code: 69-0552-0-1-401	FY 1989	FY 1990	FY 1991
Total number of full-time permanent positions	448	633	633
Total compensable workyears:			
Full-time equivalent employment	458	518	610
Full-time equivalent of overtime and holiday hours	4	4	4

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

[HIGHWAY SAFETY RESEARCH AND DEVELOPMENT]
[HIGHWAY TRUST FUND]

[For necessary expenses in carrying out the provisions of sections 307(a) and 403 of title 23, United States Code, to be derived from the Highway Trust Fund and to remain available until expended, $6,080,000.]

(Department of Transportation and Related Agencies Appropriation Act, 1990.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY SAFETY RESEARCH AND DEVELOPMENT

Beginning in 1991, this program is proposed for incorporation within the Research, Development, and Technology program funded within the Limitation on General Operating Expenses. The consolidation reflects the fact that both programs are authorized to carry out the basic highway-related research objectives set forth in 23 U.S.C. section 307, and would allow both programs to be financed by a drawdown from Federal-Aid Highways authority.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
HIGHWAY SAFETY RESEARCH AND DEVELOPMENT

Program and Financing (in thousands of dollars)

Identification code: 69-8017-0-7-401	FY 1989	FY 1990	FY 1991
Program by Activities:			
10.00 Total obligations (object class 25.0)	5,047	7,209	...
Financing:			
21.40 Unobligated balance available, start of year	(115)	(1,147)	...
24.40 Unobligated balance available, end of year	1,147	...	...
39.00 Budget authority	6,080	6,062	...
Budget authority:			
40.00 Appropriation	6,080	6,080	...
40.00 Reduction pursuant to P.L. 101-164	...	(18)	...
43.01 Appropriation (Adjusted)	6,080	6,062	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net	5,047	7,209	...
72.40 Obligated balance, start of year	15,669	10,221	11,900
72.40 Obligated balance, end of year	(10,221)	(11,900)	(6,527)
90.00 Outlays	10,495	5,530	5,373

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY-RELATED SAFETY GRANTS (LIQUIDATION OF CONTRACT AUTHORIZATION) (HIGHWAY TRUST FUND)

For payment of obligations incurred in carrying out the provisions of title 23, United States Code, section 402 administered by the Federal Highway Administration, to remain available until expended, [$9,405,000] $10,000,000 to be derived from the Highway Trust Fund: Provided, that not to exceed $100,000 of the amount appropriated herein shall be available for "Limitation on general operating expenses." Provided further, That none of the funds in this Act shall be available for the planning or execution of programs the obligations for which are in excess of [$9,405,000] $10,000,000 in fiscal year [1990] 1991 for "Highway-related safety grants."

(Department of Transportation and Related Appropriations Agencies Act, 1990.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY-RELATED SAFETY GRANTS

General Description

Section 402 of Title 23 authorizes funds to assist States, localities, Indian Tribes and the Territories of American Samoa, Guam, the Virgin Islands, and the Northern Marianas in implementing highway safety programs. Rulemaking in 1988 identified seven priority program areas as the most effective for Federal funding under Section 402. The most effective FHWA program area is "Roadway Safety" (principally covering activities directly supporting the selection and implementation of highway safety construction and traffic operational improvements).

Objectives

The program is intended to strengthen State and local highway safety programs, and to help guide and finance additional action at the State and local levels. The Federal role is to provide leadership, guidance, and financial aid to assist State and local governments in initiating new highway safety activities and improving on-going safety programs. Emphasis is placed on activities to help State and local highway agencies develop and implement systems and procedures for planning and carrying out safety construction and operational improvements.

Accomplishments

The highway-related FHWA portion of the Section 402 program serves as a significant planning resource and catalyst for State and local safety efforts. Funded activities such as improved safety data collection and programming systems, special problem studies and analyses, training and technical guides, and equipment advances have done much to improve roadway safety problem identification and countermeasure selection. In the process, interaction with vehicle-and driver-related safety programs have been improved and a needed emphasis given local problems such as traffic operations and pedestrians.

Maintaining this capability will be even more important in the future. Highway safety issues currently facing States, such as large truck safety and alcohol involvement, increasingly require cooperative and interactive programs involving driver and vehicle as well as roadway countermeasures.

Program Level/Obligation Limitation

The Surface Transportation and Uniform Relocation Act of 1987 authorized $10 million annually for this program during the four Fiscal Years 1987-91. The proposed program level for FY 1991 is $10,000,000 subject to a like amount of obligation limitation.

HIGHWAY-RELATED SAFETY GRANTS
APPROPRIATION REQUEST

For both FY 1990 and FY 1991 a liquidating cash appropriation request of $10 million is submitted to liquidate obligations incurred under contract authority. The following tables reflect outlays, liquidating cash and available authority for this program.

OUTLAYS AND LIQUIDATING CASH	($ 000's)
Cash balance, 9/30/88	6,152
FY 1989 Appropriation	10,000
Less: FY 1989 outlays	(10,268)
Cash balance, 9/30/89	5,884
FY 1990 Appropriation	9,405
Less: Reductions per P.L. 101-164, Drug Bill	(28)
Less: FY 1990 outlays (est.)	(9,314)
Cash balance, 9/30/90 (est.)	5,947
FY 1991 Appropriation (est.)	10,000
Less: FY 1991 outlays (est.)	(10,579)
Cash balance, 9/30/91 (est.)	5,368

AUTHORIZATIONS AND OBLIGATIONS	
Unobligated authority 9/30/88	595
FY 1989 Authority	10,000
Less: FY 1989 obligations	(9,405)
Unobligated authority 9/30/89	1,190
FY 1990 Authority	10,000
Less: Reductions per P.L. 99-177, Gramm Rudman	(140)
Less: FY 1990 obligations (est.)	(9,377)
Unobligated authority 9/30/90 (est.)	1,673
FY 1991 Authority	10,000
Less: FY 1991 obligations (est.)	(10,000)
Unobligated authority 9/30/91 (est.)	1,673

HIGHWAY-RELATED SAFETY GRANTS

STATUS OF UNFUNDED AUTHORITY

	($000's)
Unfunded 9/30/88	13,902
1989 authority	10,000
1989 liquidating cash appropriation	(10,000)
Unfunded 9/30/89	13,902
1990 Authority	10,000
Less: Reductions per P.L. 99-177, Gramm Rudman	(140)
1990 liquidating cash appropriation	(9,405)
Less: Reductions per P.L. 101-164, Drug Bill	28
Unfunded 9/30/90 (est.)	14,385
1991 Authority	10,000
1990 liquidating cash appropriation	(10,000)
Unfunded 9/30/91 (est.)	14,385

NOTE: ( ) denotes a negative entry

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
HIGHWAY RELATED SAFETY GRANTS
(Liquidation of Contract Authority: Trust Fund)

Program and Financing (in thousands of dollars)

Idenification code: 69-8019-0-7-401	FY 1989	FY 1990	FY 1991
Program by Activities			
1. State and community grants.........	9,305	9,280	9,900
2. Administration of grants programs..	100	97	100
10.00 Total obligations..................	9,405	9,377	10,000
Financing:			
21.40 Unobligated balance available start of year...........	-595	-1,190	-1,673
22.40 Unobligated balance available end of year..............	1,190	1,673	1,673
39.00 Budget authority............	10,000	9,860	10,000
Budget Authority:			
Current:			
40.00 Appropriation................	10,000	9,405	10,000
40.00 Reduction pursuant to P.L. 101-164.......	...	-28	...
40.49 Portion applied to liquidate contract authority..................	-10,000	-9,377	-10,000
43.00 Appropriation (adjusted).................	...	...	...
49.00 Reduction pursuant to P.L. 99-177.......	...	-140	...
69.10 Contract authority (90 Stat. 451, 92 Stat. 2727) (definite).........	10,000	10,000	10,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
HIGHWAY RELATED SAFETY GRANTS
(Liquidation of Contract Authority: Trust Fund)

Program and Financing (in thousands of dollars)

Idenification code: 69-8019-0-7-401	FY 1989	FY 1990	FY 1991
Relation of obligations to outlays:			
71.00 Obligations incurred, net...........	9,405	9,377	10,000
Obligated balance, start of year:			
72.40 Appropriation.....................	6,663	6,395	6,458
72.49 Contract authority..................	12,712	12,117	12,117
Obligated balance, end of year:			
74.40 Appropriation....................	-6,395	-6,458	-5,879
74.49 Contract authority...............	-12,117	-12,117	-12,117
90.00 Outlays..............................	10,268	9,314	10,579

Status of Unfunded Contract Authority

	FY 1989	FY 1990	FY 1991
Unfunded balance, start of year.......	13,307	13,307	13,790
Contract authority.....................	10,000	10,000	10,000
Reduction pursuant to P.L. 99-177.............	...	-140	...
Appropriation to liquidate contract authority.....................	-10,000	-9,377	-10,000
Unfunded balance, end of year....	13,307	13,790	13,790

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
HIGHWAY RELATED SAFETY GRANTS
(Liquidation of Contract Authority: Trust Fund)

Object Classification

Idenification code: 69-8019-0-7-401	FY 1989	FY 1990	FY 1991
25.00 Other services...............	100	97	100
41.00 Grants, subsidies, and contributions.............	9,305	9,280	9,900
99.00 Total obligations.............	9,405	9,377	10,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

[RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS]

[For necessary expenses of certain railroad-highway crossings demonstration projects, as authorized by section 163, of the Federal-Aid Highway Act of 1973, as amended, to remain available until expended, $15,000,000 of which $10,000,000 shall be derived from the Highway Trust Fund.]

(Department of Transportation and Related Agencies Appropriation Act, 1990).

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS

The Federal-Aid Highway Act of 1973 (PL 93-87), Section 163, authorized a total of $90 million through F.Y. 1976 for demonstration projects for the elimination or protection of certain public ground-level rail-highway crossings in 12 cities throughout the United States. Since then, amendments contained in the Federal-Aid Amendments of 1974 (PL 93-305), Department of Transportation Appropriation Act of 1975 (PL 94-391, the Federal-Aid Highway Act of 1976 (PL 95-280), the Surface Transportation Assistance Act of 1978 (PL 95-599), the Surface Transportation Assistance Act of 1982 (PL 97-424) and the Surface Transportation and Uniform Relocation Act of 1987 (PL 100-17) have increased the total amount authorized to $836.6 million, and the number of demonstration projects to 19. Currently, 12 projects are participating in this program since Sherman, Texas, has withdrawn; three projects failed to meet the legislated construction deadline; New Albany, Ind.; Elko, Nevada and Anoka, Minnesota have completed their projects. To date, $220.9 million has been appropriated. The total estimated Federal share of the total cost to complete for this program is about $510 million.

Most of the demonstration projects involve extensive relocation and consolidation of railroad tracks within an urban area. The purpose is to eliminate relatively large numbers of railroad-highway grade crossings and also to alleviate the community conflict caused by railroad facilities located in business and residential areas of the city.

This program is split funded, generating its resources from a direct general fund appropriation as well as trust funded budget authority in a 1/3 and 2/3 ratio, respectively.

No FY 1991 funding is being requested for this program. It is FHWA's policy not to separately fund programs which are eligible for funding under the regular Federal-aid highway program.

RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS

SUMMARY OF REQUIREMENTS

	Amount ($ 000's		
	General Funds	Trust Funds	Total
Unobligated balance 9/30/86..............	11,709	23,197	34,906
Add: F.Y. 1987 appropriations.............	3,917	7,833	11,750
Balance available F.Y. 1987..............	15,626	31,030	46,656
Less: F.Y. 1987 obligations...............	(4,045)	(8,091)	(12,136)
Unobligated Balance 9/30/87..............	11,581	22,939	34,520
Add: F.Y. 1988 appropriation..............	2,597	5,193	7,790
Balance available, FY 1988...............	14,178	28,132	42,310
Less: F.Y. 1988 obligations...............	(2,353)	(4,706)	(7,059)
Unobligated balance, 9/30/88.............	11,825	23,426	35,251
Add: F.Y. 1989 Appropriation..............	2,520	5,404	7,560
Balance Available, FY 1989...............	14,345	28,466	42,811
Less: FY 1989 Obligations.................	(4,019)	(8,038)	(12,057)
Unobligated Balance, 9/30/89 (est.)......	10,326	20,438	30,764
Add: FY 1990 Appropriation (est.)........	4,948	9,897	14,845
Balance Available, FY 1990 (est.)........	14,345	30,335	44,680
Less: F.Y. 1990 Obligations (est.)........	(7,637)	(15,200)	(22,837)
Unobligated Balance, 9/30/90 (est.)......	7,637	15,126	22,763
Add: FY 1991 Appropriation (est.).........	0	0	0
Balance Available, FY 1991 (est.)........	7,637	15,126	22,763
Less: F.Y. 1991 Obligations (est.).........	(7,637	(15,126)	(22,763)
Unobligated Balance, 9/30/91 (est.)......	0	0	0

RAILROAD-HIGHWAY CROSSINGS DEMONSTRATION PROJECTS
(Estimated Obligations for FY 1990 and FY 1991
(All amounts shown in thousands of dollars)

	Obligated Thru FY 1989	Estimated Obligations For FY 1990	Estimated Obligations For FY 1991
Elko, Nevada	$42,530	...	...
Lincoln, Nebraska	19,065	868	3,527
Wheeling, West Virginia	84	516	...
Blue Island, Illinois	230	...	...
Carbondale, Illinois	22,458	4,062	...
Dolton, Illinois	585	...	...
E. St. Louis Illinois	6,356	...	2,305
Springfield, Illinois	14,214	5,879	6,096
New Albany, Indiana	2,326	...	...
Anoka, Minnesota	2,898	...	...
Brownsville, Texas--Matamoros, Mexico	5,670	...	4,275
Greenville, Texas	9,485	...	15
LaFayette, Indiana	16,917	7,218	3,121
Hammond, Indiana	11,198	...	3,172
Metairie, Louisana	1,450	...	252
Augusta, Georgia	11,387	989	...
Pine Bluff, Arkansas	10,029	2,798	...
Sherman, Texas	Withdrew----------------------------------		
Terre Haute, Indiana	5,493	507	...
Subtotal	182,375	22,837	22,763
Demonstration project, College Station Texas as authorized Sec. 354 P.L. 100-457	500		
Total	$182,875	$22,837	$22,763

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RAILROAD HIGHWAY CROSSINGS DEMONSTRATION PROJECTS

Program and Financing ($ in thousands)

Identification code: 69-0557-0-7-401	1989	1990	1991
Program by Activities:			
1. Direct program	4,019	7,637	7,637
2. Reimbursable program	8,038	15,200	15,126
10.00 Total obligations	12,057	22,837	22,763
13.00 Offsetting collections from Trust Funds	-8,038	-15,200	-15,126
21.40 Unobligated balance available, start of year	-11,825	-10,326	-7,637
24.40 Unobligated balance available, end of year	10,326	7,637	...
39.00 Budget authority	2,520	4,948	...
Budget Authority:			
40.00 Appropriation	2,520	5,000	...
40.00 Reduction Pursuant to P.L. 101-164	...	-15	...
40.00 Reduction Pursuant to P.L. 99-177	...	-37	...
43.00 Appropriation (adjusted)	2,520	4,948	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net	4,019	7,637	7,637
72.40 Obligated balance, start of year	6,171	2,392	7,545
74.40 Obligated balance, end of yea	-2,392	-7,545	-10,493
90.00 Outlays	7,797	2,484	4,689

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

UNIVERSITY TRANSPORTATION CENTERS

(HIGHWAY TRUST FUND)

For necessary expenses for university transportation centers, as authorized by section 21(i)(2) of the Urban Mass Transportation Act of 1964, as amended, $5,000,000 to be derived from the Highway Trust Fund (other than the Mass Transit Account).

(Department of Transportation and Related Agencies Appropriations Act, 1990.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

UNIVERSITY TRANSPORTATION CENTERS

Funds appropriated for this program will be transferred to and administered through the Limitation on General Operating Expenses. The narrative justification for University Transportation Centers is therefore contained in the Contract and other No-Year Programs section under Limitation on General Operating Expenses.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
UNIVERSITY TRANSPORTATION CENTERS

Program and Financing (in thousands of dollars)

Identification code: 69-8065-0-7-401		FY 1989	FY 1990	FY 1991
Program by Activities:				
10.00	Total obligations (object class 25.0)	...	4,985	5,000
Financing:				
39.00	Budget authority	...	4,985	5,000
	Budget authority:			
40.00	Appropriation	...	5,000	5,000
40.00	Reduction pursuant to P.L. 101-164	...	(15)	...
43.01	Appropriation (Adjusted)	...	4,985	5,000
Relation of obligations to outlays:				
71.00	Obligations incurred, net	...	4,985	5,000
72.40	Obligated balance, start of year	...	...	3,988
72.40	Obligated balance, end of year	...	(3,988)	(6,393)
90.00	Outlays	...	997	2,595

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS (LIMITATION ON OBLIGATIONS)
(HIGHWAY TRUST FUND)

None of the funds in this Act shall be available for the implementation or execution of programs the obligations for which are in excess of [$12,260,000,000] $12,013,000,000 for Federal-aid highways and highway safety construction programs for fiscal year [1990] 1991.

FEDERAL-AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION)
(HIGHWAY TRUST FUND)

For carrying out the provisions of title 23, United States Code, that are attributable to Federal-aid highways, including the National Scenic and Recreational Highway as authorized by 23 U.S.C. 148, not otherwise provided, including reimbursements for sums expended pursuant to the provisions of 23 U.S.C. 308, [$13,660,000,000] $13,770,000,000 or so much thereof as may be available in and derived from the Highway Trust Fund, to remain available until expended.

(Department of Transportation and Related Agencies Appropriations Act, 1990.)

[For an additional amount to meet the present emergency to the Emergency Fund authorized by 23 U.S.C. 125, $1,000,000,000, to be derived from the Highway Trust Fund and to remain available until expended: Provided, That the provisions of 23 U.S.C. 125(b)(1) shall not apply to amounts available in this Fund.]

(Public Law 101-130, making further continuing appropriations for Fiscal Year 1990.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

GENERAL STATEMENT

This appropriation account comprises the majority of all federally-aided programs through which the States are provided grants to continue a highway system that meets the transportation needs of the Nation in terms of mobility, capacity and safety.

The Surface Transportation and Uniform Relocation Assistance Act (STURAA) of 1987 (P.L. 100-17) provides contract authority for fiscal years (FY) 1987 through 1991. The FY 1991 budget authority authorized from P.L. 100-17 and other legislation is $14.101 billion in FY 1991 compared to $14.924 billion in FY 1990 and $14.119 billion in FY 1989.

All programs included within the Federal-aid account are financed from the Highway Trust Fund and with most dollar authorizations made in the form of contract authority which are enacted through substantive legislation. These authorizations are apportioned and/or allocated to the States and, as a general rule, remain available for obligation over a 4-year period. Liquidating cash appropriations are subsequently requested to fund outlays resulting from obligations incurred under contract authority.

The FY 1991 limitation is proposed at a $12.013 billion level which will not only address the most important needs of infrastructure preservation, but will also maintain integrity with the budget deficit goals established by the Congress.

The $12.013 billion limit on obligations proposed for FY 1991 compares favorably with $12.0 billion and $12.21 billion enacted for fiscal years 1989 and 1990 respectively. The FY 1991 budget estimates a total obligation level of $13.204 billion for this account which compares with a projected $13.855 billion obligation level in FY 1990 and $13.507 billion in FY 1989. Much of the decline in obligations from 1990 to 1991 is due to a reduced obligation requirement in 1991 related to the Loma Prieta Earthquake and Hurrican Hugo.

Exemptions from the obligation ceiling would be for the Emergency Relief, Minimum Allocation and Alaska Highway programs. Obligations for the Section 149 Demonstration Projects, which are exempt in 1990 together with several other programs which are now exempt, would be subject to the limitation. The 2.5 percent bonus provision permitting an increase in obligations would not be retained.

The first quarter obligation controls, as prescribed by the authorizing legislation (STURAA, P.L. 100-17) and included in the 1989 Appropriation Act, are also included as part of this budget submission. Specifically, a 35 percent first quarter limitation is placed on each individual state and collectively all states may not exceed 25 percent of the annual obligation limitation during the period October 1 through December 31.

The following table below provides a comparison of the estimated obligations by program in fiscal years 1989, 1990, 1991 for which a narrative explanation is included later in this budget justification. Although the table reflects an estimated distribution of obligations by program category, it in no way proposes a limitation on obligations by such categories.

FEDERAL-AID HIGHWAYS
F.Y. 1991 CONGRESSIONAL
(Dollars in millions)

PROGRAMS	F.Y. 1989 BUDGET AUTHORITY	F.Y. 1989 ACTUAL OBLIGATIONS	F.Y. 1990 BUDGET AUTHORITY	F.Y. 1990 ESTIMATED OBLIGATIONS	F.Y. 1991 BUDGET AUTHORITY	F.Y. 1991 ESTIMATED OBLIGATIONS
Subject to Limitation						
Interstate	$3,150	$2,496	$3,107	$2,500	$3,150	$2,499
Interstate 4R	2,815	2,859	2,776	2,800	2,815	2,500
Primary	2,374	2,283	2,341	2,160	2,375	2,100
Interstate Substitution	740	674	730	650	740	650
Secondary	600	481	592	500	600	500
Urban	750	517	740	600	750	600
Bridge Replacement	1,630	1,506	1,608	1,500	1,630	1,500
Safety Construction	330	319	325	300	330	300
Federal Lands Hwy. Program	235	235	232	234	235	235
Section 149b Demo Author.	...	...	...	...	166	178
Section 149c Demo Min. All.	...	...	..	...	12	12
Miscellaneous	1	608	...	738	...	680
Administration	...	213	...	228	...	259
Subtotal, Limitation	$12,625	$12,191 *	$12,451	$12,210	$12,803	$12,813
Bonus Obligation Limitation	...	(191) **	...	179	...	...
Not Subject to Limitation						
Minimum Allocation	1,216	1,075	1,198	950	1,198	950
Emergency Relief	100	92	99	100	100	100
Federal Disaster Assistance	...	...	1000	227	...	136
Section 149b Demo Author.	166	104	164	166	...	...
Section 149c Demo Min. All.	12	7	12	12	...	...
Accelerated Bridges	...	2	...	2	...	...
Woodrow Wilson Bridge	...	2	...	1	...	...
Union Station	...	2	...	2	...	...
Usable Segments Demo. (131j)	...	1	...	1	...	...
Bridges Over Dams	...	...	...	...	...	...
Alaska Highway	...	6	...	5	...	5
Other	...	25				
Subtotal, Exempt Programs	1,494	1,316	2,473	1,466	1,298	1,191
TOTAL	$14,119	$13,507	$14,924	$13,855	$14,101	$13,204

* Legislated limitation is $12 billion, additional $191 million is Bonus obligations.

** Bonus Obligations are non-add in FY 1989.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Interstate	2,500	2,400

The Interstate System is a limited access, connected network of the most important highway routes in the Nation. The System consists of 42,792 miles of designated routes in total. As of September 30, 1989, 404 miles (or 1.1 percent) were under basic construction while another 74 miles (0.2 percent) were in various stages of preconstruction development. Over 42,314 miles (or 98.9 percent) of the mileage is now open to traffic. We continue to believe that the principal Federal interest in highways is to support and provide for the national defense and free flow of interstate commerce. Therefore, completion of the Interstate System remains of high national interest. The 1987 STURAA provides funding for construction of the Interstate System through fiscal year 1992 at a 90% Federal share.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Interstate 4R	2,800	2,500

Federal funds have been involved in preserving the existing Interstate System since the mid-1970's when the 1976 Federal-Aid Highway Act authorized an initial sum of $175 million for a 3R (resurfacing, restoration, and rehabilitation) program. The 1981 Highway Act expanded the program to include reconstruction (the fourth "R") of routes. Subsequent legislation has reinforced the Federal commitment to maintain the usefulness of the billions of dollars already invested in the System. The 1987 STURAA funds the program at a $2.815 billion level through FY 1991 at 90% Federal share.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Primary	2,160	2,100

The primary system consists of connected main highways important to interstate, statewide, and regional travel, consisting of approximately 266,000 miles, excluding the Interstate. Virtually all rural arterials and 30 percent of the urban arterials are on the primary system. All urbanized areas (50,000 and over) and nearly all areas with populations of at least 25,000 are served by the system. Half of all highway travel occurs on the primary system and the Interstate System. The typical route on the primary system has been built to a high standard and remains in good condition. The 1987 STURAA authorized $2.373 billion through FY 1991 for the Primary System, including amounts for the primary minimum. This is a 75% Federal share funded program.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Interstate Substitutions	650	650

Under current law, highway substitute projects are financed from the Highway Trust Fund and transit substitute projects by a separate authorization from general funds. Under our budget for FY 1991, both highway and transit substitute projects would be eligible for funding from the highway contract authority.

The Interstate transfer program originated with the Federal-Aid Highway Act of 1973. This 85% Federally funded program allows withdrawal of Interstate segments that are not found necessary to completion of a unified and connected Interstate System. Withdrawal of Interstate segments establishes eligibility for Federal grants for substitute transit and highway projects selected by the State Governor and local officials, in the area from which the route was withdrawn. The deadline for approval of withdrawals and substitute projects was September 30, 1983, except for routes under injunction on November 6, 1978, or May 12, 1982. Some 343.0 miles were withdrawn in 21 States. These routes had a cost of some $9.8 billion (Federal funds), establishing eligibility for substitute grants of nearly $15.0 billion (including adjustments).

	Obligations ($ in millions)	
	FY 1990	FY 1991
Secondary	500	500
Urban	600	600

The 1987 STURAA provided a $600 million annual authorization level for FY 1987 through 1991 for the secondary system and a $750 million annual authorization level for the urban system during the same period, both categories being 75% Federal share funded. It is anticipated that the States will use these funds to the fullest extent possible to supplement their own programs for transportation improvements of primarily local and regional importance.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Bridge Replacement and Rehabilitation	1,500	1,500

The 1987 STURAA provided $1.63 billion in annual authorizations for FY 1987 through 1991. This 80% Federally funded program will enable the States to respond to the problem of unsafe and inadequate bridges. The ninth annual report to Congress on the Highway Bridge Replacement and Rehabilitation program reports that the total cost to replace and rehabilitate all deficient bridges eligible for funding under this program is $50.7 billion, a decrease of 1.4 percent from the previous report.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Safety Construction	300	300

Programs continued by the STURAA of 1987 for safety construction are:
- Rail-Highway Crossings (on and off-system)
- Hazard Elimination Program

Annual authorizations of $160 million (90% Federal funded) are provided to carry out projects for the elimination of hazards at Rail-Highway Crossings. The Hazard Elimination Program is authorized at an annual level of $170 million. The Hazard Elimination funds may be used on any public road other than Interstate. The Rail Highway Crossings funds can be used on any public road.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Federal Lands	234	235

This 100% Federally funded Federal lands activity includes the Forest Highways, Park Roads, Indian Reservation Roads and Public Lands Highways. These programs provide for aiding in the construction and improvement of highways serving the National Forest Highway System, unreserved public lands, nontaxable Indian lands, or other Federal reservations. The 1982 STAA established a coordinated program with DOT coordinating with the land managing agency in the planning studies and program development of public Federal lands highways. The 1987 STURAA made no major changes in the operation of this program.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Section 149(b) Demonstration	166	166
Section 149(c) Demonstration	12	12

The 1987 STURAA authorized $165.8 million (Section 149(b)) for 152 demonstration projects identified in the legislation plus an additional $12.2 million (Section 149(c)) to provide a minimum level (80% Federal) of funding for each State.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Miscellaneous Programs	738	680

This category includes programs which are distinct from the activities of the highway construction programs discussed above, and includes, but is not limited to the following:

- Strategic Highway Research Program (100% Federal funded)
- Highway Planning and Research (85% Federal)
- Metropolitan Planning (85% Federal)
- Combined Road Demonstration
- Section 149(d) Demonstrations from Discretionary
- Other Miscellaneous

The Strategic Highway Research Program addresses several critical research needs. The program focuses on the following six areas: 1) asphalt, 2) maintenance cost effectiveness, 3) bridge deck protection, 4) cement and concrete, 5) chemical control of snow and ice, and 6) longterm pavement performance. The 5-year program is funded in FY 1987 through 1991 by a one-fourth percent takedown from the funds authorized for the Interstate, primary, Interstate substitute, Interstate 4R, secondary, urban, bridge replacement and rehabilitation and the safety construction programs.

Highway Planning and Research is funded through takedowns from Federal-aid programs, and used to enable State highway agencies to conduct studies that will help them plan, design, construct, operate, and maintain highways and transportation systems more efficiently and cost effectively.

Metropolitan planning funds are used to finance the urban transportation planning activities mandated by 23 USC 134. Funding is derived from takedowns from the Interstate, Interstate 4R, primary, secondary and urban programs.

The Combined Road Plan Demonstration program was established by the 1987 STURAA to test approaches for combining, streamlining, and increasing the flexibility in the administration of secondary and urban programs and the non-primary portion of the bridge program. The law permits up to 5 States to participate in the program.

Funding for the 152 demonstration projects authorized by Section 149 of the 1987 STURAA is derived in part (30 percent) from earmarked discretionary funds for each year. This requires approximately $106.8 million in drawdowns from the discretionary funds of the Interstate construction, Interstate 4R, Interstate substitution and bridge programs. The $106.8 million is subject to the obligation limitation although excluded from the State-by-State distribution.

The 1982 STAA contained numerous site-specific demonstration projects authorizing funds to carry out certain projects. Obligation activity is still occurring for some of these programs.

Also included are the following programs: Section 149 (b) and (c) demos, Accelerated Bridges, Woodrow Wilson Bridge, Union Station, Usable Segments Demonstration, and Bridges Over Dams.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Bonus Obligation Limitation	179	---

The bonus provision included in the 1987 STURAA, permits States which use up all of their available obligation limitation between August 1 and September 30 to obligate an additional 5 percent of their unobligated balances provided that the total additional amount does not exceed 2.5 percent nationally. The FY 1991 Budget proposes that this provision be eliminated.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Minimum Allocation	950	950

The minimum allocation program is exempt from the obligation ceiling. Minimum Allocation is a compensating authorization that is distributed to those States whose shares of total apportionments and allocations for Interstate Construction, Interstate 4R, Primary, Interstate highway substitute, bridge, secondary, urban, and safety construction programs are less than 85 percent of the estimated highway-user fees attributed to those States in the prior year.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Emergency Relief	100	100
Federal Disaster Assistance	227	136

The Emergency Relief Program is not subject to the obligation ceiling. This Federally funded program provides funds for the repair or reconstruction of highways that are damaged because of natural disasters or catastrophic failures.

Federal Disaster Assistance is budget authority provided under P.L. 101-130 to aid states in rebuilding highways damaged during disasters in 1989.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Alaska Highway	5	5

This program was authorized in legislation prior to the 1987 STURAA. Any funds apportioned to the State of Alaska which are obligated at state option for the construction of the Alaska Highway in Canada are exempt from the ceiling per Title 23.

	Obligations ($ in millions)	
	FY 1990	FY 1991
Administration and Research	228	259

Section 104 of Title 23, United States Code authorizes the Secretary of Transportation to deduct up to 3 3/4 percent of certain sums authorized prior to apportionment for the administration of Federal-aid highways, and for conducting highway research and development activities. These takedowns, deducted prior to the apportionment of funds to the States, remain available until expended. Of these funds currently available, $227 million in FY 1990 and $257 million in FY 1991 will be transferred to and utilized under the "Limitation on General Operating Expenses." Supporting justification for use of the amount transferred is contained under that portion of budget document. The following table shows the estimated status of the takedown:

FEDERAL-AID HIGHWAYS
ADMINISTRATIVE TAKEDOWN ANALYSIS
(Dollars in thousands)

	AMOUNT
Unobligated takedown balance, 9/30/88	$221,710
Add: Takedowns from:	
1990 Interstate, 1989 non-Interstate and Interstate Substitute authorizations ($12,390,000 @ 1.75%)	216,825
Total Available for F.Y. 1989	438,535
Less: F.Y. 1989 Obligations	-212,627
Unobligated takedown balance, 9/30/89	225,908
Add: Takedowns from:	
1991 Interstate, 1990 non-Interstate and Interstate Substitute authorizations ($12,390,000 @ 1.75%)	216,825
Total Available for F.Y. 1990 (est)	442,733
Less: Estimated F.Y. 1990 Obligations	-226,589
Unobligated takedown balance, 9/30/90 (est.)	216,144
Add: Takedown from:	
1992 Interstate, 1991 non-Interstate, Interstate Substitute authorizations ($12,390,000) @ 3.25%)	402,675
Total Available for F.Y 1991 (est.)	618,819
Less: Estimated F.Y. 1991 Obligations (est.)	-257,432
Unobligated takedown balance, 9/30/91 (est.)	$361,387

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

STATUS OF AUTHORITY

(Dollars in thousands)

	Amount
Unobligated authority, 9/30/88	$8,936,787
Available authority for F.Y. 1989	14,119,012
Less: F.Y. 1989 Obligations	-13,507,474
Less: Lapse	-9,599
Unobligated authority, 9/30/89	9,538,726
Available authority for F.Y. 1990	14,924,390
Less: F.Y. 1990 obligations (est.)	-13,854,979
Unobligated authority, 9/30/90 (est.)	10,608,137
Available authority for F.Y. 1991	14,101,139
Less: F.Y. 1991 obligations (est.)	-13,204,187
Unobligated authority, 9/30/91 (est.)	$11,505,089

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

OUTLAYS AND LIQUIDATING CASH

(Dollars in thousands)

	Amount
Unexpended appropriation balance, 9/30/88................	$1,606,464
Add: F.Y. 1989 liquidating cash appropriation...........	12,700,000
Balance available for F.Y. 1989........................	14,306,464
Less: F.Y. 1989 outlays	-13,306,421
Unexpended appropriation balance, 9/30/89	1,000,043
Add: F.Y. 1990 liquidating cash appropriation request...	13,660,000
Less: Reductions pursuant to P.L. 101-164, Drug Bill....	-40,980
Balance available for F.Y. 1990 (est.).................	14,619,063
Less: F.Y. 1990 outlays (est.).........................	-13,509,411
Unexpended appropriation balance, 9/30/90 (est.)........	1,109,652
Add: F.Y. 1991 liquidating cash appropriation request..	13,770,000
Balance available for F.Y. 1991 (est.)................	14,879,652
Less: F.Y. 1991 outlays (est.).........................	-13,526,562
Unexpended appropriation balance, 9/30/91 (est.)........	$1,353,090

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

FEDERAL-AID HIGHWAYS

STATUS OF UNFUNDED CONTRACT AUTHORITY

(DOLLARS IN THOUSANDS)

	Amount
Unfunded Balance, 9/30/88	$28,308,515
Contract authority, F.Y. 1989	14,119,012
LESS: FY 1989 Lapse	-9,599
LESS: F.Y. 1989 liquidating cash appropriation	-12,700,000
Unfunded balance, 9/30/89	29,717,928
Contract Authority, F.Y. 1990	13,924,390
LESS: F.Y. 1990 liquidating cash appropriation (est.)	-13,619,020
Unfunded balance, 9/30/90 (est.)	30,023,298
Contract Authority, F.Y. 1991	14,101,139
LESS: F.Y. 1991 liquidating cash appropriation (est.)	-13,770,000
Unfunded balance, 9/30/91 (est.)	$30,354,437

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code: 69-8083-0-7-401	FY 1989	FY 1990	FY 1991
Program by activities:			
Direct Program			
1. Interstate construction......	2,495,556	2,500,000	2,399,500
2. Interstate 4R................	2,859,329	2,800,500	2,500,000
3. Primary system...............	2,282,819	2,160,000	2,100,000
4. Interstate substitutions.....	674,059	650,000	650,000
5. Secondary system.............	480,697	500,000	500,000
6. Urban system.................	516,682	600,000	600,000
7. Bridge program...............	1,506,108	1,500,000	1,500,000
8. Safety construction programs.	318,882	300,000	300,000
9. Federal Lands Hwys Program...	235,328	234,000	235,000
10. Sec. 149 Demo Programs.......	180,048	178,000	178,000
11. Administration and research..	212,627	227,606	259,370
12. Other........................	1,745,339	2,204,873	1,982,317
Total direct program......	13,507,474	13,854,979	13,204,187
Reimbursable program.................	36,238	35,000	35,000
10.00 Total obligations...............	13,543,712	13,889,979	13,239,187

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code: 69-8083-0-7-401	FY 1989	FY 1990	FY 1991
Financing:			
Offsetting collections from:			
11.00 Federal funds..............	-9,685	-19,888	-25,500
13.00 Trust funds..............	-5,713	-10,712	-5,100
14.00 Non-Federal sources........	-20,840	-4,400	-4,400
Unobligated balance available, start of year..........			
21.40 Appropriation..................			-773,021
21.49 Contract Authority.............	-8,936,787	-9,538,726	-9,835,116
24.40 Appropriation.................		773,021	636,834
24.49 Unobligated balance available, end of year.................	9,538,726	9,835,116	10,868,255
25.00 Unobligated balance lapsing.....	9,599	...	...
39.00 Budget authority...........	14,119,012	14,924,390	14,101,139
Budget authority:			
Current:			
40.00 Appropriation..............	12,700,000	14,660,000	13,770,000
40.00 Reduction per P.L. 101-164	...	-40,980	...
40.49 Portion applied to liquidate contract authority..........	-12,700,000	-13,619,020	-13,770,000
43.00 Appropriation, (adjusted)...	...	1,000,000	...
49.00 Reduction per P.L. 99-177...	...	-176,749	...

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DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code: 69-8083-0-7-401	FY 1989	FY 1990	FY 1991
Permanent:			
69.10 Contract authority definite (Public Law 100-17)...	12,853,979	12,853,009	12,853,009
69.10 Contract authority indefinite (Public Law 100-17)...	1,265,033	1,248,130	1,248,130
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	13,507,474	13,854,979	13,204,187
Obligated balance, start of year:			
72.40 Appropriation...............	1,606,464	1,000,043	1,223,142
72.49 Contract authority.........	19,371,728	20,179,202	20,188,182
Obligated balance, end of year:			
74.40 Appropriation.............	-1,000,043	-1,223,142	-1,477,929
74.49 Contract authority..........	-20,179,202	-20,188,182	-19,486,182
90.00 Outlays...............	13,306,421	13,622,900	13,651,400

Status of Direct Loans (in thousands of dollars)

	FY 1989	FY 1990	FY 1991
Cumulative balance of direct loans outstanding:			
1210 Outstanding, start of year.......	19,396	...	...
1251 Repayments.................	-19,396	...	...
1290 Outstanding, end of year.........	...	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code: 69-8083-0-7-401	FY 1989	FY 1990	FY 1991
Status of Unfunded Contract Authority			
Unfunded balance, start of year.......	28,308,515	29,717,928	30,023,298
Contract authority....................	14,119,012	14,101,139	14,101,139
Reduction pursuant to P.L. 99-177.....	...	-176,749	...
Unfunded balance lapsing.............	-9,599	...	...
Appropriation from Highway Trust Fund to liquidate contract authority.....	-12,700,000	-13,619,020	-13,770,000
Unfunded balance, end of year....	29,717,928	30,023,298	30,354,437

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Object Classification (in thousands of dollars)

Identification code: 69-8083-0-7-401	FY 1989	FY 1990	FY 1991
FEDERAL HIGHWAY ADMINSTRATION			
Direct obligations:			
Personnel Compensation:			
11.1 Full-time permanent...........	6,267	6,267	6,759
11.3 Other than full-time permanent	1,099	1,004	1,026
11.5 Other personnel compensation..	553	641	699
11.9 Total personnel compensation..	7,919	7,912	8,484
12.1 Civilian personnel benefits...	1,573	1,572	1,612
21.0 Travel and transportation of persons......................	2,800	2,805	2,876
22.0 Transportation of things......	775	753	768
23.2 Rental payments to others.....	415	403	411
24.0 Printing and reproduction.....	137	133	128
25.0 Other services................	8,450	8,696	8,330
26.0 Supplies and materials........	261	254	241
31.0 Equipment.....................	49	48	45
32.0 Lands and structures..........	130,712	124,717	141,159
41.0 Grants, subsidies, and contributions...............	13,045,923	13,377,383	12,678,913
93.0 Limitation on general operating expenses (see separate sched)	212,627	227,606	259,370
99.0 Subtotal, direct obligations..	13,411,641	13,752,282	13,102,337

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code: 69-8083-0-7-401	FY 1989	FY 1990	FY 1991
ALLOCATION ACCOUNTS			
Personnel Compensation:			
11.1 Full-time permanent...........	13,638	13,806	14,167
11.3 Other than full-time permanent	4,631	4,681	4,800
11.5 Other personnel compensation..	1,212	1,237	1,238
11.9 Total personnel compensation..	19,481	19,724	20,205
12.1 Civilian personnel benefits...	2,714	3,370	3,480
21.0 Travel and transportation of persons......................	2,572	2,475	2,631
22.0 Transportation of things......	1,164	1,163	1,193
23.2 Rental payments to others.....	4,011	4,088	4,107
24.0 Printing and reproduction.....	108	92	103
25.0 Other services................	33,192	28,941	26,868
26.0 Supplies and materials........	4,554	4,182	4,321
31.0 Equipment.....................	1,043	1,151	1,177
32.0 Lands and structures..........	26,735	37,251	37,505
41.0 Grants, subsidies, and contributions...............	259	260	260
99.0 Subtotal obligations allocation accounts.........	95,833	102,697	101,850
99.9 Total Obligations.............	13,543,712	13,889,979	13,239,187

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code: 69-8083-0-7-401	FY 1989	FY 1990	FY 1991
REIMBURSABLE ACCOUNTS			
Personnel Compensation:			
11.1 Full-time permanent...........	3,489	3,476	3,576
11.3 Other than full-time permanent	518	617	625
11.5 Other personnel compensation..	177	275	280
11.9 Total personnel compensation..	4,184	4,368	4,481
12.1 Civilian personnel benefits...	762	830	851
21.0 Travel and transportation of persons......................	232	382	299
22.0 Transportation of things......	253	332	260
23.2 Rental payments to others.....	204	169	194
24.0 Printing and reproduction.....	100	79	101
25.0 Other services................	2,942	3,079	3,039
26.0 Supplies and materials........	845	857	873
31.0 Equipment.....................	1,918	2,765	2,099
41.0 Grants, subsidies, and contributions...............	16,192	15,430	15,765
93.0 Limitation on general operating expenses....................	8,606	6,709	7,038
99.0 Subtotal obligations, reimbursable accounts........	36,238	35,000	35,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL AID HIGHWAYS (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

Identification code: 69-8083-0-7-401	FY 1989	FY 1990	FY 1991
Obligations are distributed as follows:			
Federal Highway Administration.....	13,447,879	13,787,282	13,137,337
Urban Mass Transportation Administration.........	-1,475	10,000	10,000
Army: Corps of Engineers........	-94	...	...
Agriculture: Forest Service.......	1,564	550	550
Interior:			
Bureau of Indian Affairs........	80,786	78,500	78,500
National Park Service........	15,052	13,647	12,800

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
FEDERAL-AID HIGHWAYS

Personnel Summary

Identification code: 69-8083-0-7-401	FY 1989	FY 1990	FY 1991
FEDERAL HIGHWAY ADMINISTRATION			
Direct:			
Total number of full-time permanent positions................	232	239	239
Total compensable workyears:			
Full-time equivalent employment....	276	275	277
Full-time equivalent of overtime and holiday hours.............	28	22	23
Reimbursable:			
Total number of full-time permanent positions................	127	120	120
Total compensable workyears:			
Full-time equivalent employment....	160	149	151
Full-time equivalent of overtime and holiday hours.............	3	7	7
ALLOCATION ACCOUNTS			
Total number of full-time permanent positions................	541	541	541
Total compensable workyears:			
Full-time equivalent employment....	645	645	608
Full-time equivalent of overtime and holiday hours.............	6	6	6

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DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

HIGHWAY TRUST FUND

GENERAL STATEMENT

The Highway Trust fund was originally established in the Treasury in accordance with provisions of the Highway Revenue Act of 1957, as amended (23 U.S.C. 12 note). It was extended by the Surface Transportation Assistance and Uniform Relocation Assistance Act of 1987 and recently modified by the Omnibus Budget Reconciliation Act of 1987 (P.L. 100-203). Amounts equivalent to taxes on gasoline, diesel fuel, special motor fuels, tires, tubes, tread rubber, commercial motor vehicles, truck use, lubricating oil, and parts and accessories for truck, buses, etc., are designated by the act to be appropriated and transferred from the general fund of the Treasury to the trust fund. These transfers are made at least monthly on the basis of estimates by the Secretary of the Treasury, subject to adjustments in later transfers to the amount of actual tax receipts. Amounts available in the fund in excess of outlay requirements are invested in public debt securities and interest thereon is credited to the fund. There are also credited to the fund repayable advances from the general fund, as authorized and made available by law, to meet outlay requirements in excess of available revenues during a portion of a fiscal year, if necessary.

The termination date of the fund was extended to September 30, 1993, as a result of the Surface Transportation Assistance and Uniform Relocation Assistance Act of 1987. The 1987 STURAA extended the mass transit account within the Trust Fund funded by one-ninth of the excise tax collection under section 4041 and 4081 of the Internal Revenue Code (26 U.S.C.) imposed after March 31, 1983. The funds from this account are used for expenditures in accordance with section 21(a)(2) of the Urban Mass Transportation Act of 1964. The remaining excise taxes collected are included in a highway account within the trust fund and expenditures from this account are made in accordance with the provision with the provisions of Title 23 United States Code and the periodic Federal-Aid Highway Acts.

Amounts required for outlays to carry out the Federal-aid highway program are appropriated to the Federal Highway Administration, Department of Transportation. The Secretary of the Treasury also transfers certain taxes to the land and water conservation fund and to the aquatic resources fund, makes refunds of certain taxes, makes repayments of advances from the general fund, and credits the interest on advances.

The amendments to the Internal Revenue Code in the 1982 STAA related to the Highway Trust Fund require that before an apportionment be made, the Secretary of the Treasury must determine that adequate revenues will be available to meet these expenditures within 24 months after the close of the fiscal year for which the apportionment is made.

HIGHWAY TRUST FUND
TOTAL

Amounts available for appropriation (in thousands of dollars)

	1989 actual	1990 est.	1991 est.
Unappropriated Balance, Start of Year:			
US Securities(par)	11,056,610	14,518,618	14,944,138
Receipts	16,872,660	16,262,500	16,614,200
Total available for appropriation	27,929,270	30,781,118	31,558,338
Appropriations:			
Federal Highway Administration:			
Federal-aid Highways (Liquidation of contract authorization	-12,700,000	-13,619,020	-13,770,000
Highway-related safety grants,(Liquidation of contract authorization	-10,000	-9,377	-10,000
Trust Fund Share of Other Highway Programs	-5,040	-9,897	0
Highway safety research and development	-6,080	-6,062	0
Motor carrier safety grants(liquidation of contract authorization)	-50,000	-51,844	-63,000
Highway-Railroad Grade Crossing	-8,100	-9,355	0
Nuclear Waste Transportation Safety	-3,600	...	0
Highway Safety Improvement Demonstration	-1,260	-10,949	0
Airport Access Demonstration	-1,300	...	0
Highway Safety and Economic Dev	-8,550	-11,840	0
Intermodal Demonstration	-8,550	-9,846	0
Baltimore Washington Parkway	-12,825	-11,964	0
Corridor Safety Improvement Project	-28,000	-17,248	0
Bridge Capacity Improvement Project	-3,763	-3,933	0
University Transportation Centers	0	-4,985	-5,000
Emergency Relief	0	-1,000,000	0
National Hwy.Traffic Safety Administration:			
Trust fund share of operations and research	-30,751	-31,756	-40,950
Highway traffic safety grants(liquidation of contract authorization)	-130,500	-131,604	-105,000
Urban Mass Transit Administration:			
Discretionary grants, (liquidation of contract authorization)	-400,000	-897,300	-815,000

HIGHWAY TRUST FUND
TOTAL, continued

Amounts available for appropriation (in thousands of dollars)

	1989 actual	1990 est.	1991 est.
Other agencies:			
Mt.Saint Helens USFS, (Liquidation of contract authorization)..................	-5,333	0	0
Construction, NPS, (Liquidation of contract authorization)..................	0	0	0
Subtotal appropriations	-13,413,652	-15,836,980	-14,808,950
Unobligated balance returned to unappropriated offsetting receipt account.......	3,000		
Unappropriated Balance, End of Year:			
US Securities(par)................................	14,518,618	14,944,138	16,749,388

STATUS OF HIGHWAY TRUST FUND

	1989 actual	1990 est.	1991 est.
Unexpended balance, start of year:			
US Securities(par)	13,447,952	15,977,952	17,925,311
Cash	738,716	630,389	0
Balance of fund at start of year	14,186,668	16,608,341	17,925,311
Cash income during the year: Governmental Receipts			
From excise taxes:			
Gasoline tax	9,253,089	9,627,000	9,785,000
Truck,bus and trailer taxes	1,239,536	1,250,000	1,313,000
Tire,innertube and tread rubber taxes	316,044	321,000	333,000
Diesel fuel taxes	4,319,248	3,046,000	3,164,000
Use tax on certain vehicles	608,314	617,000	636,000
Fines and penalties	4,279	4,000	4,000
Transfers to land and water fund	-1,000	-1,000	-1,000
Transfer to aquatic resources fund	-110,917	-117,000	-121,000
Repealed Taxes	-716	0	0
Intrabudgetary Transactions:			
Interest on investments	1,244,783	1,515,500	1,501,200
Total annual income	16,872,660	16,262,500	16,614,200
(Mass transit account)	-1,738,289	-1,863,700	-1,926,600
Cash outlays during the year:			
Federal Highway Administration, Appropriations			
Federal-aid highways(liquidation of contract authorization)	13,306,421	13,509,411	13,526,562
Highway-related safety grants (liquidation of contract authorization)	10,268	9,314	10,579
Right-of-way revolving fund (Liquidation of contract authorization)	-11,241	...	...
Miscellaneous Highway Trust Funds	10,345	48,377	65,680
Trust fund share of other highway programs.	1,845	12,654	15,100
Highway safety research and development	10,495	5,530	5,373
Motor Carrier Safety Grants	53,560	62,510	62,540
Baltimore-Washington Parkway	4,971	11,641	13,355
University Transportation Centers	0	997	2,595
Federal Disaster Assistance	0	113,489	124,838
National Highway Traffic Safety Administration Appropriations:			
Trust fund share of operations and research	59,529	33,756	38,753
Highway traffic safety grants (liquidation of contract authorization)	142,458	125,400	127,200

STATUS OF HIGHWAY TRUST FUND
continued

	1989 actual	1990 est.	1991 est.
Urban Mass Transportation Administration Appropriations:			
Discretionary grants, (liquidation of contract authorization)...............	848,508	976,387	1,095,387
Other agencies appropriations:			
Mt.Saint Helens USFS, Agriculture........	907	737	0
Contstruction, NPS, Interior....	12,922	35,327	39,352
Total annual outlays.....................	14,450,987	14,945,530	15,127,314
Unexpended balance carried forward:			
US Securities (par)........................	15,977,952	17,925,311	19,412,197
Cash.......................................	630,389	0	0
Balance of fund at end of year...............	16,608,341	17,925,311	19,412,197
Commitment against unexpended balances			
Appropriated but not expended:			
Appropriations............................	-343,334	-1,166,424	-940,180
Liquidation of contract authorization....	-1,790,131	-1,870,482	-1,798,362
Committed to future liquidating cash appropriations:			
Outstanding obligated balance of contract authority.......................	-22,911,421	-23,816,407	-23,457,029
Unobligated balance of contract authority.......................	-10,793,166	-10,566,481	-11,839,998
Total commitment against unexpended balance.................	-35,838,052	-37,419,794	-38,035,569
Uncommitted balance, end of year......	-19,229,711	-19,494,483	-18,623,372

The Highway Revenue Act of 1956, as amended, provides for the transfer from the general fund to the highway trust fund of revenue from the motor fuel tax and certain other taxes paid by highway users. The Secretary of Treasury estimates the amounts to be transferred. In turn, appropriations are authorized from this fund to meet expenditures for Federal-aid highways and other programs specified by law.

HIGHWAY TRUST FUND

(Highway Account)

Amounts available for appropriation (in thousands of dollars)

	1989 actual	1990 est.	1991 est.
Unexpended balance, start of year.....	9,019,108	10,550,999	10,980,656
Cash income during the year, Governmental Receipts			
Excise Taxes....................................	14,358,458	13,436,000	13,768,000
Interest on Investments.........................	775,913	962,800	919,600
Total annual income.......................	15,134,371	14,398,800	14,687,600
Cash outgo during the year (Outlays)			
Federal Highway Administration..................	13,386,664	13,773,923	13,826,622
National Highway Traffic Safety Administration	201,987	159,156	165,953
National Park Service...........................	12,922	35,327	39,352
U.S. Forest Service.............................	907	737	0
Total, outlays.........................	13,602,480	13,969,143	14,031,927
Unexpended balance, end of year..................	10,550,999	10,980,656	11,636,329

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT-OF-WAY REVOLVING FUND (LIMITATION ON DIRECT LOANS) (HIGHWAY TRUST FUND)

During fiscal year [1990] 1991 and with the resources and authority available, gross obligations for the principal amount of direct loans shall not exceed, [$42,500,000] $47,850,000 [together with an amount not to exceed the amount of 1989 obligations recovered].

(Department of Transportation and Related Agencies Appropriation Act, 1990.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT-OF-WAY REVOLVING FUND

BACKGROUND

The Federal Aid Highway Act of 1968 authorized $300 million for the establishment of the Right-of-Way Revolving Fund. This fund was established as a vehicle to make interest-free cash advances to the States to purchase highway right-of-way parcels in advance of actual highway construction thereby avoiding inflated land prices that often accompany highway development.

Since the beginning of the fund in 1970, over $784 million has been allocated to the States. Thirty-four States have utilized these funds. Historically, of the total amount of funds authorized, 32.25% were for Interstate projects, 52.28% were for primary projects, 13.57% were for urban projects and 1.9% were for secondary projects. Funds are allocated to the States on the basis of anticipated cost savings, need, ability to use, and payback record. The FHWA emphasizes cost savings when determining which projects should be funded.

Because of the demand and competition for these funds, all requests are screened to assure the most effective use of these funds. Among the factors considered during evaluation of the proposed funding requests are:

- Type of facility, ie., Interstate, primary, urban, secondary.
- The cost savings gained by funding the project with revolving funds
- The amount of corridor protection afforded by funding the project.
- The opportunity for reduction in the number and cost of relocations and/or orderly relocation from the project.
- The opportunity to expedite project construction, estimated savings construction costs.

FY 1991 Program

The FY 1991 budget proposes a limitation on obligations of the Right-of-Way Revolving Fund of $47,850,000. The limitation for fiscal year 1989 was $46,000,000 and for fiscal year 1990 is $42,373,000.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT-OF-WAY REVOLVING FUND

STATUS OF OUTLAYS AND LIQUIDATING CASH

	Amount
Unexpended appropriation balance, 9/30/87....................	$104,187
Less: FY 1988 outlays..	(2,947)
Balance available for FY 1989..............................	101,240
Less: FY 1989 outlays..	(11,241)
Balance available for FY 1990..............................	89,999
Less: FY 1990 outlays (est.)................................	0
Balance available for FY 1991 (est.)........................	89,999
Less: FY 1991 outlays (est.)................................	0
Unexpended appropriate balance, 9/30/91 (est.)...............	$ 89,999

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

RIGHT-OF-WAY REVOLVING FUND

ANALYSIS OF APPROPRIATIONS

(Dollars in thousands)

	Amount
Total Authorization.......................................	$300,000
Less: Appropriations through FY 1987....................	(260,000)
Unappropriated balance, 9/30/87...........................	40,000
Less: FY 1988 appropriation..............................	0
Unappropriated balance 9/30/88...........................	40,000
Less: FY 1989 appropriation..............................	0
Unappropriated balance, 9/30/89...........................	40,000
Less: FY 1990 appropriation request......................	0
Unappropriated balance, 9/30/90...........................	40,000
Less: FY 1991 appropriation request......................	0
Unappropriated balance, 9/30/91...........................	$40,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RIGHT-OF-WAY REVOLVING FUND (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Program and Financing (in thousands of dollars)

identification code: 69-8402-0-8-401	FY 1989	FY 1990	FY 1991
Program by Activities:			
10.00 Total obligations........	85,559	42,373	47,850
Financing:			
14.00 Offsetting collections from non-federal sources..........	-39,559	-42,373	-47,850
17.00 Recovery of prior year obligations..................	-48,964	...	...
Unobligated balance available, start of year:			
21.40 Appropriation................	-61,143	-64,107	-64,107
21.49 Contract Authority...........	-40,000	-40,000	-40,000
Unobligated balance available, end of year:			
24.40 Appropriation................	64,107	64,107	64,107
24.49 Contract Authority...........	40,000	40,000	40,000
39.00 Budget Authority.............	...	...	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net....	46,000		
72.90 Obligated Balance, Start of Year...............	97,617	105,894	105,894
74.90 Obligated Balance, End of Year................	-105,894	-105,894	-105,894
78.00 Adjustment in unexpired accounts...............	-48,964	...	...
90.00 Outlays......................	-11,241	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RIGHT-OF-WAY REVOLVING FUND (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Status of Direct Loans (in thousands of dollars)

identification code: 69-8402-0-8-401	FY 1989	FY 1990	FY 1991
Position with respect to appropriation act Limitation on obligations:			
1111 Limitation direct loans.......	46,000	42,500	47,850
1111 Reduction pursuant to P.L. 101-164.	...	-127	...
1150 Total, direct obligations..........	46,000	42,373	47,850
Cumulative balance of direct loans outstanding:			
1210 Outstanding, start of year......	101,240	89,999	89,999
1231 New loans: Disbursements for Direct loans.............	28,318	42,373	47,850
1251 Recoveries: payment and prepayment............	-39,559	-42,373	-47,850
1290 Outstanding, end of year.	89,999	89,999	89,999
Status of Unfunded Contract Authority:			
Unfunded balance, start of year........	40,000	40,000	40,000
Appropriation from the Highway Trust fund to liquidate contract authority...........................	...	...	...
Unfunded balance, end of year.....	40,000	40,000	40,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
RIGHT-OF-WAY REVOLVING FUND (LIQUIDATION OF CONTRACT AUTHORIZATION) (TRUST FUND)

Revenue and Expenses (in thousands of dollars)

	1989 actual	1990 estimate	1991 estimate
Advances for acquisition of right-of-way programs			
Revenue................	39,559	42,373	47,850
Expense................	-28,318	-42,373	-47,850
Net operating income	11,241	0	0

Financial Condition (in thousands of dollars)

	1988 actual	1989 actual	1990 estimate	1991 estimate
Assets:				
Selected assets:				
Drawing account with Treasury				
Advances (loans)...........	101,240	89,999	89,999	89,999
Due from Highway trust fund............	158,760	170,001	170,001	170,001
Total Assets.......	260,000	260,000	260,000	260,000
Government equity:				
Selected equities:				
Non-interest bearing capital:				
Undisbursed loan obligations..........	97,617	105,894	105,894	105,894
Unobligated balance...	101,143	104,107	104,107	104,107
Contract authority....	-40,000	-40,000	-40,000	-40,000
Invested capital......	101,240	89,999	89,999	89,999
Total Government equity............	260,000	260,000	260,000	260,000
Analysis of changes in Government equity:				
Non-interest bearing capital:				
Start of year........		260,000	260,000	260,000
Appropriation.........		...	...	...
Total Government equity, end of year..........		260,000	260,000	260,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS HIGHWAY TRUST FUNDS
[INTERMODAL URBAN DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For necessary expenses to carry out the provisions of section 124 of the Federal-aid Highway Amendments of 1974, $10,000,000, to be derived from the Highway Trust Fund.]

[HIGHWAY SAFETY AND ECONOMIC DEVELOPMENT DEMONSTRATION]
[(HIGHWAY TRUST FUND)]

[For necessary expenses to carry out construction projects as authorized by Public Law 99-500 and Public Law 99-591, $12,000,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[HIGHWAY SAFETY IMPROVEMENT DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For the purpose of carrying out a coordinated project of highway improvements in the vicinity of Pontiac and East Lansing, Michigan, that demonstrates methods of enhancing safety and promoting economic development through widening and resurfacing of highways on the Federal-aid primary system and on roads on the Federal-aid urban system, as authorized by Public Law 99-500 and Public Law 99-591, $11,000,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[HIGHWAY-RAILROAD GRADE CROSSING SAFETY DEMONSTRATION PROJECT]
[(HIGHWAY TRUST FUND)]

[For the purpose of carrying out a coordinated project of highway-railroad grade crossing separations in Mineola, New York, that demonstrates methods of enhancing highway-railroad crossing safety while minimizing surrounding environmental effects, as authorized by Public Law 99-500 and Public Law 99-591, $9,500,000, to be derived from the Highway Trust Fund and to remain available until expended.]

[CORRIDOR SAFETY IMPROVEMENT PROJECT]
[(HIGHWAY TRUST FUND)]

[For the purpose of carrying out a demonstration of methods of improving vehicular and pedestrian safety on roads on the Federal-aid primary and Federal-aid secondary systems, involving Route 1 in New Jersey, there is hereby appropriated $17,300,000, to be derived from the Highway Trust Fund and to remain available until expended: Provided, That all funds appropriated under this head shall be exempted from any limitation on obligations for Federal-aid highways and highway safety construction programs.]

[BRIDGE CAPACITY IMPROVEMENTS]
[(HIGHWAY TRUST FUND)]

[For the purpose of carrying out the Nashua River Bridge and Broad Street Parkway project in Nashua, New Hampshire, that crosses the Nashua River, there is hereby appropriated $4,000,000, to be derived from the Highway Trust Fund and to remain available until expended: Provided, That all funds appropriated under this head shall be exempt from any limitation on obligations for Federal-aid highways and highway safety construction programs.]

Department of Transportation and Related Agencies Appropriations Act, 1990.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS HIGHWAY TRUST FUNDS

GENERAL STATEMENT

Funds appropriated under this heading are derived from the Highway Trust fund. This miscellaneous account contains appropriations for which no new Budget Authority is requested in FY 1991, but contains obligations and outlays from prior year appropriations.

The following accounts comprise Miscellaneous Highway Trust Funds:

- Project Acceleration Demo.
- Traffic Control Signalization
- Overseas Highway
- Carpool/Vanpool
- Intermodal Urban Demonstration
- Highway Safety & Economic Development
- Highway Safety Improvement Demonstration
- Highway Rail Grade Crossing
- Nuclear Waste Transp.
- Roosevelt Bridge
- Airport Access Highway Demo.
- Airport Highway Demo.
- Vehicular Hwy. Safety Sep.
- Corridor Safety Demo.
- Bridge Capacity Improvement

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS HIGHWAY TRUST FUNDS

Program and Financing ($ in thousands)

Identification code: 69-9972-0-7-401	1989	1990	1991
Program by Activities			
1. Carpool-Vanpool Projects................	72	10	...
2. Intermodal Urban Demonstration Project..	...	27,896	...
3. Highway Safety & Economic Development....	330	33,360	...
4. Highway Safety Improvement Demo.........	614	18,202	...
5. Highway Railroad Grade Crossing.........	14,630	16,325	...
6. Nuclear Waste Transportation Demo.......	350	4,950	...
7. Roosevelt Bridge........................	14	247	...
8. Airport Access Highway Demonstration....	...	2,500	...
9. Airport Access Demonstration............	2,450	...	...
10. Vehicular Highway Safety Demonstration.	98	11,552	...
11. Bridge Capacity Improvement Demo.......	...	7,933	...
12. Corridor Safety Improvement Demo.......	3,000	46,950	...
10.00 Total obligations....................	21,558	169,925	...
Financing			
21.40 Unobligated balance available, start of year..............	-65,190	-106,754	...
24.40 Unobligated balance available, end of year....................	106,754	...	...
39.00 Budget authority.....................	63,123	63,171	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS HIGHWAY TRUST FUNDS

Program and Financing ($ in thousands)

Identification code: 69-9972-0-7-401	1989	1990	1991
Budget Authority:			
40.00 Appropriation........................	63,123	63,800	...
40.00 Reduction Pursuant to P.L. 100-164...	...	-191	...
40.00 Reduction Pursuant to P.L. 99-177....	...	-438	...
43.00 Appropriation (adjusted)...........	63,123	63,171	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net............	21,558	169,925	...
72.40 Obligated balance, start of year................................	26,304	37,480	159,028
74.40 Obligated balance, end of year................................	-37,480	-159,028	-93,348
77.00 Adjustments in exp. accounts.........	-37	...	...
90.00 Outlays...............................	10,345	48,377	65,680

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS HIGHWAY TRUST FUNDS

Program and Financing ($ in thousands)

Identification code: 69-9972-0-7-401	1989	1990	1991
Distribution of Budget Authority by account:			
Intermodal Urban Demonstration Project.....	8,550	9,846	...
Highway Safety & Economic Development......	8,550	11,840	...
Highway Safety Improvement Demo............	1,260	10,949	...
Highway Railroad Grade Crossing............	8,100	9,355	...
Nuclear Waste Transportation Demo..........	3,600	...	...
Airport Access Demonstration...............	1,300	...	...
Bridge Capacity Improvement Demo...........	3,763	3,933	...
Corridor Safety Improvement Demo.........	28,000	17,248	...
Distribution of Outlays by Account:			
Traffic Control Signalization..............	79	226	170
Project Acceleration Demonstration.........	1	201	150
Overseas Highway...........................	5	1,449	1,086
Highway Safety & Economic Development......	5,178	7,251	11,110
Airport Access Demontration................	...	980	735
Highway Safety Improvement Demo............	508	3,953	6,059
Highway Rail Grade Crossing Safety.........	...	9,117	9,613
Nuclear Waste Transportation Safety Demo...	133	1,197	1,739
Theodore Roosevelt Bridge Demo.............	25	499	416
Airport Access Highway Demonstration.......	...	500	800
Vehicular & Pedestrian Safety Demo.........	...	2,349	3,726
Corridor Safety Improvement Demo...........	...	9,990	15,984
Bridge Capacity Improvement Demo...........	...	1,586	2,539
Intermodal Urban Safety Demo...............	4,322	8,944	11,450
Carpool/Vanpool Support Program............	94	135	103

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS APPROPRIATIONS

[HIGHWAY WIDENING DEMONSTRATION PROJECT]

[For necessary expenses to carry out a demonstration project to improve U.S. Route 202 in the vicinity of King of Prussia, Pennsylvania, as authorized by Public Law 100-202, $2,000,000, to remain available until expended.]

[BRIDGE IMPROVEMENT DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary to carry out a highway project in the vicinity of Jacksonville, Florida, for the purpose of demonstrating methods of reducing traffic congestion and improving efficiency in the trans-shipment of military and civilian cargo by construction of a bridge to Blount Island, widening State Highway 105 (Heckscher Drive) and constructing an interchange at the intersection of Heckscher Drive and the new Blount Island Bridge, $4,000,000, to remain available until expended.]

[HIGHWAY WIDENING AND IMPROVEMENT DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary to carry out a highway project between Paintsville and Prestonsburg, Kentucky, that demonstrates the safety and economic benefits of widening and improving highways in mountainous areas, $5,000,000, to remain available until expended.]

[CLIMBING LANE SAFETY DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary to carry out preliminary engineering, environmental studies, and right-of-way acquisition for U.S. Route 15 in the vicinity of Tioga County, Pennsylvania, for the purpose of demonstrating methods of improving highway and highway safety construction, $2,500,000, to remain available until expended.]

[INDIANA INDUSTRIAL CORRIDOR SAFETY DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary for an improved route between Wabash and Huntington, Indiana, for the purpose of demonstrating the safety and economic benefits of widening and improving rural highways, $2,400,000, to remain available until expended.]

[OKLAHOMA HIGHWAY WIDENING DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary to widen Oklahoma State Route 53 from Interstate Highway 35 east to the entrance of the Ardmore Regional Industrial Airpark for the purpose of demonstrating methods of improved highway and highway safety construction, $2,500,000, to remain available until expended.]

[ALABAMA HIGHWAY BYPASS DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary for the construction of a highway bypass project in the vicinity of Jasper, Alabama, for the purpose of demonstrating methods of improved highway and highway safety construction, $8,300,000, to remain available until expended.]

[KENTUCKY BRIDGE DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary to replace the Glover Cary Bridge in Owensboro, Kentucky, for the purpose of demonstrating methods of improved highway and highway safety construction, $5,000,000, to remain available until expended.]

[VIRGINIA HOV SAFETY DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary to construct High Occupancy Vehicle lanes on Interstate Route 66 between Interstate Route 495 and U.S. Route 50 for the purpose of demonstrating methods of increasing highway capacity and safety by the use of highway shoulders to construct HOV lanes, $4,650,000, to remain available until expended.]

[URBAN HIGHWAY CORRIDOR DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary to improve and upgrade the M-59 urban highway corridor in southeast Michigan, $4,500,000, to remain available until expended, for the purpose of demonstrating methods of improving congested urban corridors that have been neglected during construction of the interstate system. Provided that of the funds available under this head, $3,000,000 shall be available for a bicycle transportation demonstration project in MaComb County, Michigan.]

[URBAN AIRPORT ACCESS SAFETY DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary to improve and upgrade access to Detroit Metropolitan Airport in southeast Michigan, $5,000,000, to remain available until expended, for the purpose of demonstrating methods of improving access to major urban airports.]

[CORRIDOR H IMPROVEMENT PROJECT]

[For the purpose of carrying out a demonstration of methods of eliminating traffic congestion, and to provide economic benefits for the area affected by the construction of a bypass, on the Corridor H segment of the Appalachian Highway System, there is hereby appropriated $32,000,000, to remain available until expended: Provided, That all funds appropriated under this head shall be exempted from any limitation on obligations for Federal-aid highway safety construction programs.]

[ROAD EXTENSION DEMONSTRATION]

[For the purpose of carrying out a demonstration of economic growth and development benefits of four lane bypasses of cities, there is hereby appropriated $11,000,000, to remain available until expended, for the acquisition of rights-of-way and other costs incurred in the upgrading and construction of a portion of a four-lane facility bypassing the cities of Pella, Iowa, and Oskaloosa, Iowa, on Highway 163: Provided, That all funds appropriated under this head shall be exempted from any limitation on obligations for Federal-aid highways and highway safety construction programs.]

[EBENSBURG BYPASS DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary to construct the Ebensburg, Pennsylvania bypass as authorized by Public Law 100-17, $13,740,000, to remain available until expended.]

[HIGHWAY DEMONSTRATION PROJECTS-PRELIMINARY ENGINEERING]

[For 80 percent of the expenses necessary to carry out preliminary engineering, environmental studies, and right-of-way acquisition for certain highway projects that demonstrate methods of improving safety, reducing congestion, or promoting economic development, $5,800,000, to remain available until expended.]

[SPRING MOUNTAIN DEMONSTRATION PROJECT]

[For the purpose of carrying out a demonstration project to improve Interstate 15 Spring Mountain interchange in Las Vegas, Nevada, for the purpose of demonstrating construction and reconstruction techniques available for replacement of a major intersection on a heavily utilized, urban transportation route, there is hereby appropriated $2,200,000, to remain available until expended: Provided, That all funds appropriated under this head shall be exempted from any limitation on obligations for Federal-aid highways and highway safety construction programs.]

[MANHATTAN BRIDGE REPLACEMENT DEMONSTRATION PROJECT]

[For the purpose of carrying out a demonstration project to replace the Kansas River Bridge in Manhattan, Kansas, there is hereby appropriated $3,210,000, to remain available until expended: Provided, That all funds appropriated under this head shall be exempted from any limitation on obligations for Federal-aid highways and highway safety construction programs.]

[JUNCTION CITY HIGHWAY IMPROVEMENT DEMONSTRATION PROJECT]

[For 80 percent of the expenses necessary to carry out a highway project in Junction City, Kansas, for the purpose of demonstrating the value of adding acceleration and deceleration lanes along two exits of U.S. Route 77, there is hereby appropriated $400,000, to remain available until expended: Provided, That all funds appropriated under this head shall be exempted from any limitation on obligations for Federal-aid highways and highways and highway safety construction programs.]

[DES MOINES INNER LOOP DEMONSTRATION PROJECT]

[For the purpose of demonstrating the benefits of improved access for the revitalization of an underdeveloped portion of a central city, there is hereby appropriated $2,800,000 to remain available until expended, for design, engineering, acquisition of rights-of-way and construction and realignment of roads from I-235 and Harding Road to Fleur Drive at the Des Moines Water Works in Des Moines, Iowa: Provided, That all funds appropriated under this head shall be exempted from any limitation on obligations for Federal-aid highways and highway safety construction programs.]

[CORRIDOR G IMPROVEMENT PROJECT]

[For the purpose of carrying out a demonstration of methods of eliminating traffic congestion, and to promote economic benefits for the area affected by the construction of the Corridor G segment of the Appalachian Highway System, there is hereby appropriated $10,000,000, to remain available until expended: Provided, That all funds appropriated under this head shall be exempted from any limitation on obligations for Federal-aid highway safety construction programs.]

[CORNING BYPASS SAFETY DEMONSTRATION PROJECT]

[For the purpose of carrying out a demonstration of traffic safety and flow improvement, there is hereby appropriated $20,000,000 to remain available until expended: Provided, That all funds appropriated under this head shall be exempted from any limitation on obligations for Federal-aid highways and highway safety construction programs.]

(Department of Transportation and Related Agencies Appropriations Act, 1990)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS APPROPRIATIONS

GENERAL STATEMENT

This account was established to display FHWA programs financed from general funds that no longer require appropriations and provide a mechanism to show the obligation and outlay of amounts made available in prior years. No appropriations are requested.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

Identification code: 69-9911-0-1-401	FY 1989	FY 1990	FY 1991
Program by Activities:			
1. Highway Safety Seperation Demo..	226	...	...
2. Autopedestrian Seperation Demo..	50	1,682	...
3. Highway Beautification..........	1,357	155	...
4. Rail Line Consolidation.........	...	3,620	...
5. Rail-crossings Demo.............	...	51	
6. Interstate Transfer Grants......	9,635	20,919	...
7. Highway Widening Demonstration..	1,800	3,026	...
8. Waste Isolation Pilot Project...	3,603	1,311	...
9. Bridge Improvement Demo. Proj...	5,090	12,198	...
10. Highway Bridge Rel.........	...	2,470	...
11. Hwy. Widening and Improvement .	...	11,401	...
12. Intersection Safety Demo.......	560	340	...
13. Highway Capacity Improvement...	613	287	...
15. Climbing Lane Demonstration....	240	2,696	...
15. Indiana Industrial Corridor....	1,000	2,378	...
16. Corridor H.....................	16,000	31,672	...
17. Oklahoma Highway Widening......	400	2,487	...
18. Alabama Highway Bypass.........	3,600	8,223	...
19. Kentucky Bridge Demonstration..	880	7,653	...
20. Virginia HOV...................	500	4,629	...
21. Urban Highway Corridor.........	225	4,484	...
22. Urban Airport Access...........	225	4,982	...
23. Bridge Restoration.............	...	2,000	...
24. Reservation Road...............	3,500	...	...
25. International Zaragosa Bridge..	1,623	1,377	...
26. Expressway Safety Improvement..	2,600	...	...
27. Alabama Feasibility Study......	675	...	...
28. Road Extension Demostration....	370	11,188	...
29. Ebensburgh Bypass..............	...	13,699	...
30. Highway Demonstration Projects.	...	5,783	...
31. Des Moines Inner Loop..........	...	2,792	...
32. Corridor G Improvement.........	...	9,970	...
33. Spring Mountain Demonstration..	...	2,193	...
34. Manhattan Bridge Replacement...	...	3,200	...
35. Junction City Highway Project..	...	399	...
36. Corning Bypass Safety Project..	...	19,940	...
37. Access...Lakes.................	223	3,641	...
10.00 Total obligations (o.c. 41)..	54,996	202,845	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

Identification code: 69-9911-0-1-401	FY 1989	FY 1990	FY 1991
Financing:			
17.00 Recovery of prior years obligations............	(628)	...	...
21.40 Unobligated balance available, start of year............	(54,952)	(56,755)	...
24.40 Unobligated balance available, end of year........	56,755	...	...
25.00 Unobligated balance lapsing..	(256)	...	...
39.00 Budget Authority..........	55,916	146,090	...
Budget Authority			
40.00 Appropriation.................	55,916	147,000	...
40.75 Reduction pur. to P.L.101-164	...	(439)	
40.90 Reduction pur. to P.L.99-177.	...	(471)	...
43.00 Appropriation (adjusted).....	55,916	146,090	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

Identification code: 69-9911-0-1-401	FY 1989	FY 1990	FY 1991
Relation of obligations to outlays:			
71.00 Obligations incurred, net....	54,996	202,845	...
72.40 Obligated balance, start of year..........................	144,823	132,779	241,937
74.40 Obligated balance, end of year..........................	(132,779)	(241,937)	(137,189)
77.00 Adjustments in expired accounts............	(2,169)	...	...
78.00 Adjustments in unexpired accounts............	(628)	...	...
90.00 Outlays..	64,243	93,687	104,748

Distribution of Budget Authority by account:

Highway Widening Demo..............	1,800	1,968	...
Bridge Improvement Demo............	8,550	3,988	...
Highway Widening and Improvement...	4,100	4,926	...
Intersection Safety Demo...........	900	...	...
Highway Capacity Improvement.......	900	...	...
Climbing Lane Demo.................	450	2,486	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

Identification code: 69-9911-0-1-401	FY 1989	FY 1990	FY 1991
Distribution of Budget Authority by account:			
Indiana Industrial Corridor	1,000	2,378	...
Corridor H	16,000	31,672	...
Oklahoma Highway Widening	400	2,487	...
Alabama Highway Bypass	3,600	8,223	...
Kentucky Bridge Demo	3,600	4,933	...
Virginia HOV	500	4,629	...
Urban Highway Corridor	225	4,484	...
Urban Airport Access	225	4,982	...
Bridge Restoration	2,000	...	...
Reservation Road	3,500	...	...
International Zaragosa Bridge	3,000	...	...
Expressway Safety Improvement	2,600	...	...
Alabama Feasibility Study	675	...	...
Road Extension Demonstration	600	10,958	...
Ebensburgh Bypass	...	13,699	...
Highway Demonstration Projects	...	5,783	...
Des Moines Inner Loop	...	2,792	...
Corridor 6 Improvement	...	9,970	...
Spring Mountain Demonstration	...	2,193	...
Manhattan Bridge Replacement	...	3,200	...
Junction City Highway Project	...	399	...
Corning Bypass Safety Project	...	19,940	...
Access...Lakes	1,291		...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS APPROPRIATIONS

Program and Financing (in thousands of dollars)

Identification code: 69-9911-0-1-401	FY 1989	FY 1990	FY 1991
Distribution of outlays by account:			
Highway Safety Separation	910	44	33
Off-System Roads	65	119	89
Inter-American Highway	...	33	25
Bikeway Demonstration	47	10	7
Mianus Bridge Assistance	...	88	66
Rail-Highway Crossing, Off System	670	1,568	1,176
Auto Pedestrian Separation Demo	...	356	553
Public Lands	...	2	2
Alaska Highway	47	130	97
Highway Beautification	4,835	1,723	1,318
Rural Highway Transportation	7	...	...
Rail-Line Consolidation	10	742	1,172
Airport-Highway Demonstration	1,512	14	10
Darien Gap	...	815	611
Rail- Crossing Demonstration	(35)	103	86
Territorial Highway Program	1,701	1,262	947
Bicycle Program	2	97	27
Interstate transfer grants	17,853	23,831	21,430
Highway Widening Demo	987	1,539	1,668
Waste Isolation Pilot Program	16,363	1,802	1,574
Expressway Gap Closing	8,430	5,612	4,209
Bridge Improvement Demo	...	4,476	5,430
Highway Bridge Relocation	...	494	790
Highway Bypass Demonstration	445	546	409
Highway Widening and Improv.Demo.	...	2,280	3,648
Traffic Improvement Demonstration	24	179	134
Intersection Safety Demonstration	...	292	277
Highway Capacity Improvement	13	298	272
Climbing Lane Demo	42	618	922
Indiana Industrial Corridor	...	876	1,061
Corridor H	3,699	11,255	13,825
Oklahoma Highway Widening	...	657	916
Alabama Highway Bypass	112	3,040	3,678
Kentucky Bridge Demonstration	10	1,882	2,713

Identification code: 69-9911-0-1-401	FY 1989	FY 1990	FY 1991
Distribution of outlays by account:			
Virginia HOV	63	1,101	1,612
Urban Highway Corridor	...	987	1,502
Urban Airport Access	6	1,084	1,660
Bridge Restoration	...	400	640
Reservation Roads	...	1,400	1,050
International Zaragosa Bridge	...	925	928
Expressway Safety Improvement	149	981	795
Alabama Feasibility Study	...	270	202
Road Extension Demonstration	...	2,386	3,691
Safer Off System Roads	490	1,830	1,379
Ebensburgh Bypass	...	2,740	4,384
Highway Demonstration Projects	...	1,157	1,851
Des Moines Inner Loop	...	558	893
Corridor G Improvement	...	1,994	3,190
Spring Mountain Demonstration	...	439	702
Manhattan Bridge Replacement	...	640	1,024
Junction City Highway Project	...	80	128
Corning Bypass Safety Project	...	3,988	6,381
Access...Lakes	5,786	4,007	3,625

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MISCELLANEOUS TRUST FUNDS

Funds received by this account come completely from non-Federal sources. FHWA holds these funds in trust until they are outlayed. The following programs are included in this fund:

I. Cooperative Work Forest Highway (Proprietary Receipts) - Contributions are received from States and counties in connection with cooperative engineering, survey, maintenance and construction projects for Forest Highways. The FY 1991 estimate is $500,000.

II. Technical assistance, U.S. dollars advanced from foreign governments (Proprietary Receipts) - Federal Highway Administration renders technical assistance and acts as agent for the purchase of equipment and materials for carrying out highway programs in foreign countries. For FY 1991, these services are being rendered in Kuwait, China, Indonesia and Turkey. The FY 1991 estimate is $2,718,000.

III. Contributions for highway research programs (Governmental Receipts) In association with the General Services Administration and the Department of Defense, tests of highway equipment are conducted for the purpose of establishing perfo[illegible] standards upon which to base specifications for use by the Governm[illegible] sing such equipment. The FY 1991 estimate is $25,000.

IV. Advances fro[illegible]tate cooperating agencies (Proprietary Receipts) - Funds are contributed by the State highway departments or local subdivisions thereof for construction and/or maintenance of roads or bridges. The work is performed under the supervision of the Federal Highway Administration. The FY 1991 estimate is $400,000.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code: 69-9971-0-7-151	FY 1989	FY 1990	FY 1991
Program by Activities			
1. Cooperative work, forest highways	868	1,402	500
2. Technical assistance, U.S. dollars advanced from foreign governments	2,447	3,359	2,718
3. Contributions for highway research programs	40	35	25
4. Advances from State cooperating agencies	4,253	9,007	400
10.00 Total obligations	7,608	13,803	3,643
Financing:			
Unobligated balance available, start of year:			
17.00 Recoveries of Prior Year Obligations	-39		
21.40 Appropriation	-435	-8,985	...
21.49 Contract authority	-85	-1,081	...
Unobligated balance available, end of year:			
24.40 Appropriation	8,985	...	...
24.49 Contract authority	1,081	...	...
39.00 Budget authority	17,115	3,737	3,643

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code: 69-9971-0-7-151	FY 1989	FY 1990	FY 1991
Budget authority:			
Permanent:			
60.00 Appropriation......................	16,307	5,389	3,643
60.49 Portion applied to liquidate contract authority...............	...	-1,652	...
63.00 Appropriation (adjusted)...........	16,307	3,737	3,643
69.10 Contract authority...........	808	...	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net...........	7,608	13,803	3,643
Obligated balance, start of year:			
72.40 Appropriation.....................	628	6,355	12,943
72.49 Contract authority.................	759	571	...
Obligated balance, end of year:			
74.40 Appropriation......................	-6,355	-12,943	-8,409
74.49 Contract authority.................	-571	...	...
78.00 Adjustments in unexpired accounts.....	-39	...	...
90.00 Outlays............................	2,030	7,786	8,177

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS TRUST FUNDS

Program and Financing (in thousands of dollars)

Identification code: 69-9971-0-7-151	FY 1989	FY 1990	FY 1991
Distribution of budget authority by account			
Cooperative work, forest highways.....	1,457	450	500
Technical assistance, U.S. dollars advanced from foreign governments...	2,814	2,892	2,718
Contributions for highway research programs............................	10	20	25
Advances from State cooperating agencies...........................	12,834	375	400
Distribution of outlays by account:			
Cooperative work, forest highways.....	401	328	584
Technical assistance, U.S. dollars advanced from foreign governments...	2,375	3,277	2,783
Contributions for highway research programs............................	-10	27	31
Advances from State cooperating agencies	-769	3,859	4,558
Equipment, supplies, etc. for cooperating countries...............	33	295	221
Status of Unfunded Contract Authority			
Unfunded balance, start of year.......	844	1,652	...
Contract authority.....................	808	...	...
Appropriation to liquidate contract authority..........................	...	-1,652	...
Unfunded balance, end of year..	1,652	...	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MISCELLANEOUS TRUST FUNDS

OBJECT CLASSIFICATION

Identification code: 69-9971-0-7-151	FY 1989	FY 1990	FY 1991
Personnel Compensation:			
11.1 Full-time permanent..................	804	1,555	401
11.5 Other personnel compensation........	61	118	30
11.9 Total personnel compensation.........	865	1,673	432
Personnel Benefits			
12.1 Civilian..........................	145	280	72
21.0 Travel and transportation of persons......................	55	106	27
22.0 Transportation of things..........	35	68	17
24.00 Printing and Reporoduction.........	139	269	69
25.0 Other services.....................	5,102	8,958	2,395
26.0 Supplies and materials..............	26	50	13
32.0 Lands and structures................	1,241	2,400	619
99.0 Total obligations..................	7,608	13,803	3,643

Personnel Summary

Total number of full-time permanent position	15	15	15
Total compensable workyears: FTE Employment.	12	16	16

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

TRUST FUND SHARE OF OTHER HIGHWAY PROGRAMS

This Trust Funded account provides reimbursement to the General Fund share of certain accounts that are financed with both general funds and trust funds (split/funded).

The following programs are incorporated in this account:

Railroad-highway crossings demonstration projects - Various legislation authorized demonstration projects in 19 cities for the purpose of protecting or eliminating certain public ground-level rail-highway crossings, relocating railroad lines from central areas, and the construction of overpasses and underpasses. No appropriation is requested in FY 1991.

Rail crossing demonstration projects - The Federal-aid Highway Act of 1970 authorized two demonstration projects. One project is to eliminate public ground-level rail-highway crossings along the route of the Northeast Corridor high-speed rail line between Washington, D.C. and Boston Massachusetts. The other project is to eliminate or protect certain rail-highway crossings in the vicinity of Greenwood, South Carolina, and relocate rail lines bisecting the town proper. Additional funding for this program is not being requested for FY 1991 inasmuch obligations are complete.

Rural highway public transportation demonstration projects - The Federal-Aid Highway Act of 1973 authorized demonstration projects for encouraging the development, improvement, and use of public mass transit systems operating vehicles within rural areas. Additional funding for this program is not being requested for FY 1991 in asmuchas obligations are complete.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
TRUST FUND SHARE OF OTHER HIGHWAY PROGRAMS

Program and Financing (in thousands of dollars)

Identification code: 69-8009-0-7-401	FY 1989	FY 1990	FY 1991
Program by Activities			
1. Railroad-highway crossings demonstration projects.....	8,038	15,200	15,126
10.00 Total obligations....................	8,038	15,200	15,126
Financing:			
17.00 Recovery of Prior year obligations..	-45	...	...
21.40 Unobligated balance available, start of year...........	-23,529	-20,438	-15,126
24.40 Unobligated balance available, end of year.................	20,438	15,126	...
25.00 Unobligated balance lapsing..	138	9	...
39.00 Budget authority....................	5,040	9,897	...
Budget Authority:			
40.00 Appropriation.........................	5,040	10,000	...
40.00 Reduction pursuant to P.L. 101-164.......	...	-30	...
40.00 Reduction pursuant to P.L. 99-177........	...	-73	...
43.00 Appropriation (adjusted)..................	5,040	9,897	...

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
TRUST FUND SHARE OF OTHER HIGHWAY PROGRAMS

Program and Financing (in thousands of dollars)

Identification code: 69-8009-0-7-401	FY 1989	FY 1990	FY 1991
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	8,038	15,200	15,126
72.40 Obligated balance, start of year..........................	17,886	24,035	26,581
74.40 Obligated balance, end of year..........................	-24,035	-26,581	-26,607
78.00 Adustment in unexp. accounts....	-45	...	...
90.00 Outlays..............................	1,845	12,654	15,100
Distribution of budget authority by account:			
Railroad-highway crossings demonstration projects................	5,040	9,897	...
Distribution of outlays by account:			
Railroad-highway crossings demonstration projects................	1,806	12,570	15,037
Rail crossings-demonstration projects...	44	47	35
Rural highway public transportation demonstration program.................	-7	...	...
Bicycle Program.............................	2	37	28

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS

(LIQUIDATION OF CONTRACT AUTHORIZATION)
(HIGHWAY TRUST FUND)

For payment of obligations incurred in carrying out the provisions of section 402 of Public Law 97-424, [$52,000,000] $63,000,000, to be derived from the Highway Trust fund and to remain available until expended: Provided, That none of the funds in this Act shall be available for the implementation or execution of programs the obligations for which are in excess of $60,000,000 for "Motor carrier safety grants".

[Notwithstanding subsection (d) of section 402 of the Surface Transportation Assistance Act of 1982 (Public Law 97-424), 96 Stat. 2155, 2156) for States which have received only development grants under such section 402 and which have participated in the Commercial Motor Carrier Safety Inspection and Weighing Demonstration Program, The Secretary shall only approve a plan under such section 402 for fiscal year 1990 which provides that the aggregate expenditure of funds of the State and political subdivisions thereof, exclusive of Federal funds, for commercial motor vehicle safety programs will be maintained at a level which does not fall below the average level of such expenditure for the last two full fiscal years preceding the date the plan is approved.]

(Department of Transportation and Related Appropriations Agencies Act, 1990.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

MOTOR CARRIER SAFETY GRANTS

Background

Title XII (the Commercial Motor Carrier Safety Act of 1986) of P.L. 99-570 (the Anti-Drug Abuse Act of 1986) furnished contract authority for this program as follows:

Fiscal Year	Amount (millions)
1987	$50
1988	50
1989	60
1990	60*
1991	60

*Reduced to $59,160 per P.L. 99-177, Gramm Rudman.

This program was initially authorized by the 1982 STAA and is used to make grants to the States for the development or implementation of national programs for the enforcement of Federal or State rules and regulations concerning Motor Carrier Safety. Federal grants may not be used to maintain efforts already undertaken by State governments as of 1981 and 1982. Thus, the purpose of the grant program is to raise the level of enforcement not to substitute for it.

The major purpose of the program is to reduce the number and severity of accidents involving commercial motor vehicles, including those transporting hazardous materials. To achieve this, grants are made to qualified States for the development and implementation of programs to enforce Federal Motor Carrier Safety and Hazardous Materials Regulations, and the Commercial Motor Vehicle Safety Act of 1986. The basic program is to target driver vehicle, and cargo safety and both interstate and intrastate commercial vehicle traffic.

Administrative Takedown and CDL

The 1986 Act provided for a drawdown of not to exceed 1/2 of one percent of the new authorizations for program administration. In addition, for each year FY 1989-1991, a $13 million takedown against new authorizations is provided for the Commercial Drivers Licensing Program.

Program Level/Obligation Limitation

For FY 1991, FHWA proposes a limitation on obligations for the Motor Carrier Safety Grants program. This limtation is equal to new FY 1991 Contract Authority of $60 million.

DISTRIBUTION OF RESOURCES
FY 1991 Program Level
(000)

	FY 1991
Basic Grants to States	$46,700
Commercial Drivers License	13,000
Administrative Takedown	300
Total......................	$60,000

TRUCK SAFETY AND PUBLIC AWARENESS

Senate Report 101-121 on H.R. 3015, Department of Transportation and Related Agencies Appropriations Bill, FY '90, directed the Federal Highway Administration (FHWA) to present a summary of its various efforts to provide useful information to the driving public concerning how to safely share the highway with commercial motor carriers.

On April 7, 1989, FHWA entered into an agreement with the New Jersey Office of Highway Traffic Safety (OHTS) to conduct a truck safety project to reduce the accident rate of trucks through increased enforcement and statewide public education regarding trucks. A major component of the project is a comprehensive public information campaign which includes the dissemination of a truck safety video, brochures for passenger and commercial motor vehicle drivers, bumper stickers, and awareness maps designed to inform the public about truck safety. The video, available this spring, will cover such topics as speeding, tailgating, and road courtesy and will be distributed to approximately 25 truck stops throughout the State.

One of the brochures, "Share the Road With a Truck," will be distributed to passenger car drivers along with a bumper sticker promoting truck safety. The brochures will include information on truck stopping distances, blind spots, changing lanes, and other unique driving factors to help drivers avoid accidents with trucks. A similar handout will be developed for the truck driver along with awareness maps on trouble spots throughout the State. These maps will warn truck drivers of locations where fog persists, flooding is possible, lanes end or change, long-term construction will be in progress, or other situations requiring caution. Truck drivers will receive this information at toll booths on the New Jersey Turnpike, Garden State Parkway, Atlantic City Expressway, and the various port authority crossings between New York, Pennsylvania and New Jersey. The materials will be made available for use by other States. The FHWA has coordinated with the National Highway Traffic Safety Administration (NHTSA) on these activities and will continue to do so in the future.

Private organizations, such as the American Trucking Associations (ATA) and the Highway Users Federation, have developed similar public education materials about driving safely with trucks. The ATA has published pamphlets instructing motorists and truck drivers on how to avoid accidents. Additionally, both organizations have produced videotapes on this subject. The ATA videotape instructs high school students how to safely share the road with trucks and other vehicles, offering tips on highway and city driving techniques.

A videotape produced by the Highway Users Federation is designed for car, truck, and tire dealers or auto stores to show, loan, or donate in their own communities as a public service. It explains how to drive safely with 18-wheel tractor trailers using the same roadway. It gives viewers advice on how to avoid accidents with large trucks and how to cooperate with truck drivers to build a new "partnership for safety" on the roadway.

In sum, the FHWA, NHTSA, and the private sector are using a variety of ways to reach the motoring public through brochures, bumper stickers, and videos.

MOTOR CARRIER SAFETY GRANTS

FY 1991 Liquidating Cash Appropriation Request

For FY 1991 a liquidating cash appropriation of $63.0 million is requested to liquidate obligations incurred against contract authority. The following tables reflect outlays, liquidating cash and available authority for this program.

OUTLAYS AND LIQUIDATING CASH	Amount (in thousands)
Cash balance, 9/30/88	25,190
FY 1989 Liquidating Cash Request	50,000
Less: FY 1989 outlays	(53,489)
Cash balance 9/30/89	21,701
FY 1990 Liquidating Cash Request	52,000
Less: Reductions per P.L. 101-164, Drug Bill	(156)
Less: FY 1990 outlays (est.)	(62,510)
Cash balance 9/30/90 (est.)	11,035
FY 1991 Liquidating Cash Request	63,000
Less: FY 1991 outlays (est.)	(62,540)
Cash balance, 9/30/91 (est.)	11,495

AUTHORIZATIONS AND OBLIGATIONS	
Unobligated authority, 9/30/88	2,814
FY 1989 Contract Authority (P.L. 99-570)	60,000
Less: FY 1989 obligations	(59,955)
Unobligated authority, 9/30/89	2,859
FY 1990 Contract Authority (P.L. 99-570)	60,000
Less: Reductions per P.L. 99-177, Gramm Rudman	(840)
Less: FY 1990 obligations (est.)	(60,019)
Unobligated authority, 9/30/90 (est.)	2,000
FY 1991 Contract Authority (P.L. 99-570)	60,000
Less: FY 1991 obligations (est.)	(60,000)
Unobligated authority, 9/30/91 (est.)	2,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY GRANTS
(Liquidation of Contract Authority: Trust Fund)

Program and Financing (in thousands of dollars)

Idenification code: 69-8048-0-7-401	FY 1989	FY 1990	FY 1991
Program by Activities:			
001. Motor Carrier Assistance Grants	59,708	59,723	59,700
002. Administration of Grants	247	296	300
10.00 Total obligations	59,955	60,019	60,000
Financing:			
Unobligated balance available, start of year:			
21.40 Appropriation	...	...	...
21.49 Contract authority	-2,814	-2,859	-2,000
Unobligated balance available, end of year:			
24.40 Appropriation	...	...	...
24.49 Contract authority	2,859	2,000	2,000
39.00 Budget Authority	60,000	59,160	60,000
Budget Authority, Current:			
40.00 Appropriation	50,000	52,000	63,000
40.00 Reduction pursuant to P.L. 101-164	...	-156	
40.49 Portion applied to liquidate contract authority	-50,000	-51,844	-63,000
43.00 Appropriation adjusted	...	...	...
49.10 Reduction pursuant to P.L. 99-177	...	-840	...
Permanent:			
69.10 Contract authority	60,000	60,000	60,000

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
MOTOR CARRIER SAFETY GRANTS
(Liquidation of Contract Authority: Trust Fund)

Program and Financing (in thousands of dollars)

Idenification code: 69-8048-0-7-401	FY 1989	FY 1990	FY 1991
Relation of obligations to outlays:			
71.00 Obligations incurred, net................	59,955	60,019	60,000
Obligated balance, start of year:			
72.40 Appropriation...........................	25,561	22,001	11,335
72.49 Contract authority......................	12,185	22,140	30,315
Obligated balance, end of year:			
74.40 Appropriation...........................	-22,001	-11,335	-11,795
74.49 Contract authority......................	-22,140	-30,315	-27,315
90.00 Outlays.................................	53,560	62,510	62,540

Status of Unfunded Contract Authority

	FY 1989	FY 1990	FY 1991
Unfunded balance, start of year................	15,000	25,000	32,316
Contract authority.............................	60,000	60,000	60,000
Reduction pursuant to P.L. 99-177..............	...	-840	...
Appropriation to liquidate contract authority..............................	-50,000	-51,844	-63,000
Unfunded balance, end of year..............	25,000	32,316	29,316

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

[BALTIMORE-WASHINGTON PARKWAY] (HIGHWAY TRUST FUND)

[For necessary expenses, not otherwise provided, to carry out the provisions of the Federal-Aid Highway Act of 1970, for the Baltimore-Washington Parkway, to remain available until expended, $12,000,000, to be derived from the Highway Trust Fund and to be withdrawn therefrom at such times and in such amounts as may be necessary.]

(Department of Transportation and Related Appropriations Agencies Act, 1990.)

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

BALTIMORE WASHINGTON PARKWAY

GENERAL STATEMENT

This program, which was authorized by the Federal-Aid Highway Act of 1970 provides for the construction and reconstruction of the Baltimore-Washington Parkway to be funded from the Highway Trust Fund revenues. B-W Parkway has been funded over the past several years as an "add-on" appropriation to several DOT Appropriation Acts. Since this project is not a high priority project and can be funded through other Federal-aid highway programs, FHWA does not request an appropriation for the Baltimore-Washington Parkway program in FY 1991.

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION
BALTIMORE-WASHINGTON PARKWAY

Program and Financing (in thousands of dollars)

Identification code: 69-8014-0-7-401	1989	1990	1991
Program by Activities:			
10.00 Baltimore Washington Parkway (object class 41.0)................	15,184	27,202	...
Financing:			
21.40 Unobligated balance available, start of year..............	-17,597	-15,238	...
24.40 Unobligated balance available, end of year....................	15,238	..	...
39.00 Budget authority.....................	12,825	11,964	...
Budget Authority:			
40.00 Appropriation.......................	12,825	12,000	...
40.00 Reduction pursuant to P.L. 101-64....	...	-36	...
43.00 Appropriation adjusted...............	12,825	11,964	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net............	15,184	27,202	...
72.40 Obligated balance, start of year.............................	5,287	15,501	31,062
74.40 Obligated balance, end of year.............................	-15,501	-31,062	-17,707
90.00 Outlays..............................	4,971	11,641	13,355

DEPARTMENT OF TRANSPORTATION
FEDERAL HIGHWAY ADMINISTRATION

GENERAL PROVISIONS

Note—The following sections are proposed for deletion and do not appear below:

SEC. 320. Permits obligation of funds for operating expenses of the Tri-County Commuter Rail Project.

SEC. 3^{2}2. Specifies that 23 U.S.C. 144(g)(2) shall not apply to a bridge in Charleston, West Virginia.

SEC. 329. Makes several technical amendments to the Surface Transportation and Uniform Relocation Assistance Act of 1987: releases United States Rights of reversion to airport land in Wyoming.

SEC. 332. Repeals section 329 of the Department of Transportation and Related Agencies Appropriations Act, 1989, relating to highway segments in Virginia.

SEC. 333. Requires the Secretary to reimburse the State of California for the Federal share of the fair market value of rights of way incorporated into several highway projects conveyed to the State.

SEC. 334. Specifies that funds appropriated for "Intermodal Urban Demonstration Project" are available until expended; amends section 337 of Public Law 100-457 relating to UMTA commuter rail service; allows certain statewide agencies or instrumentalities to apply for UMTA operating assistance up to various levels.

SEC. 336. Renames a highway segment in Michigan.

SEC. 337. Specifies an amount that shall be made available to states in 1990 and 1991 upon request of state highway departments to carry out 23 U.S.C. 140(b).

SEC. 338. Technical amendment to section 149(a)(14)(B) of Public Law 100-17.

SEC. 344. Requires the Secretary to set aside highway funds for a Wyoming highway.

SEC. 348. Declaration on the 50th anniversary of the Alaska Highway.

SEC. 308. None of the funds in this or any previous or subsequent Act shall be available for the [planning or] implementation of any change in the current Federal status of the Transportation Systems Center, and none of the funds in this Act shall be available for the implementation of any change in the current Federal status of the Turner-Fairbank Highway Research Center.

SEC. 310. (a) For fiscal year [1990] 1991 the Secretary of Transportation shall distribute the obligation limitation for Federal-aid highways by allocation in the ratio which sums are authorized to be appropriated for Federal-aid highways and highway safety construction that are apportioned or allocated to each State for such fiscal year bear to the total of the sums authorized to be appropriated for Federal-aid highways and highway safety construction that are apportioned or allocated to all the States for such fiscal year.

(b)During the period October 1 through December 31, [1989] 1990, no State shall obligate more than 35 per centum of the amount distributed to such State under subsection (a), and the total of all State obligations during such period shall not exceed 25 per centum of the total amount distributed to all States under such subsection.

(c)Notwithstanding subsections (a) and (b), the Secretary shall -

(1) provide all States with authority sufficient to prevent lapses of sums authorized to be appropriated for Federal-aid highways and highway safety construction that have been apportioned to a State, except in those instances in which a State indicates its intention to lapse sums apportioned under section 104(b)(5)(A) of title 23, United States Code;

(2) after August 1, [1990] 1991, revise a distribution of the funds made available under subsection (a) if a State will not obligate the amount distributed during that fiscal year and redistribute sufficient amounts to those States able to obligate amounts in addition to those previously distributed during that fiscal year giving priority to those States having large unobligated balances of funds apportioned under section 104 of title 23, United States Code, and giving priority to those States which, because of statutory changes made by the Surface Transportation Assistance Act of 1982 and the Federal-Aid Highway Act of 1981, have experienced substantial proportional reductions in their apportionments and allocations; and

(3) not distribute amounts authorized for administrative expenses, the Federal lands highway program, the strategic highway research program and amounts made available under sections [149(d),] 158, 159, 164, 165, and 167, of Public Law 100-17.

(d) The limitation on obligations for Federal-aid highways and highway safety construction programs for fiscal year [1990] 1991 shall not apply to obligations for emergency relief under section 125 of title 23, United States Code; and obligations under section 157 of title 23, United States Code; [projects covered under section 147 of the Surface Transportation Assistance Act of 1978, section 9 of the Federal Aid Highway Act of 1981, subsections 131(b) and (i) of Public Law 97-424, section 118 of the National Visitors Center Facilities Act of 1988, section 320 of title 23, United States Code, and projects authorized by Public Law 99-500 and

Public Law 99-591 and Public Law 100-202, or projects covered under subsections 149(b) and (c) of Public Law 100-17.]

[(e) Subject to paragraph (c)(2) of this General Provision, a State which after August 1 and on or before September 30 of fiscal year 1990 obligates the amount distributed to such State in that fiscal year under paragraphs (a) and (c) of this General Provision may obligate for Federal-aid highway safety construction on or before September 30, 1989 an additional amount not to exceed 5 percent of the aggregate amount of funds apportioned or allocated to such State -

(1) under sections 104, 130, 144, and 152 of title 23 United States Code, and

(2) for highway assistance projects under section 103(e)(4) of such title.

Which are not obligated on the date such State completes obligation of the amount so distributed.]

[(f) During the period August 2 through September 30, 1990, the aggregate amount which may be obligated by all States pursuant to paragraph (e) shall not exceed 25 percent of the aggregate amount of funds apportioned or allocated to all States -

(1) under section 104, 130, 144, and 152 of title 23 United States Code, and

(2) for highway assistance projects under section 103(e)(4) of such title.

Which would not be obligated in fiscal year 1988 if the total amount of the obligation limitation provided for such fiscal year in this Act were utilized.]

[(g) Paragraph (e) shall not apply to any State which on or after August 1, 1991, has the amount distributed to such State under paragraph (a) for fiscal year 1991 reduced under paragraph (c)(2).]

(e) Notwithstanding any other provision of law, section 105(f) of the Surface Transportation and Uniform Relocation Act of 1987 shall not apply in determining the maximum amount which may be obligated in fiscal year 1991 and in each fiscal year thereafter.

(f) Notwithstanding any other provision of law, funds available under 23 U.S.C. 103(e)(4) for highway interstate substitute projects shall also be available for mass transit interstate substitute projects.

Sec. 311. Notwithstanding any other provision of law, with the exception of section 125 of Title 23, U.S.C. effective October 1, 1990 and thereafter, the Federal share of the cost of any highway or bridge project authorized or funded under this or any other Act, that is not federal owned, shall not exceed 80 percent of the cost of such project for those projects where, prior to October 1, 1990, the Federal share of such project would have been 100 percent.

(Department of Transportation and Related Agencies Appropriations Act, 1990.)

NEW ODD PAGE

U.S. Department of
Transportation

BUDGET
ESTIMATES

FISCAL YEAR 1991

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
FISCAL YEAR 1991 CONGRESSIONAL JUSTIFICATIONS

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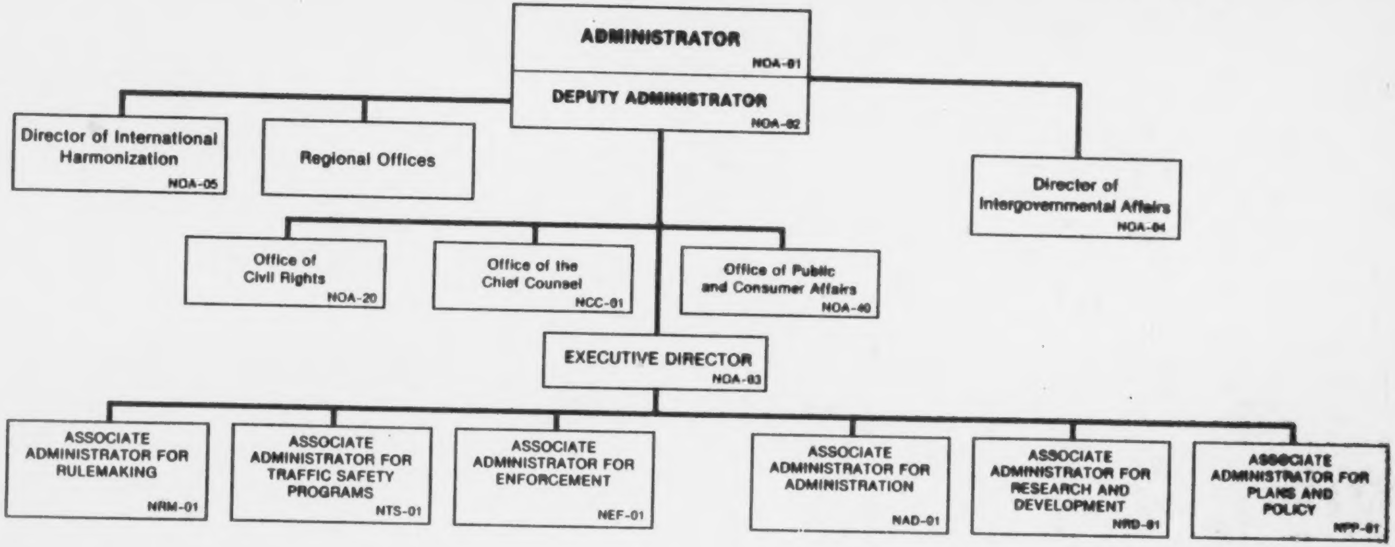
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION


ADMINISTRATOR NOA-01
DEPUTY ADMINISTRATOR NOA-02
Director of International Harmonization NOA-05
Regional Offices
Director of Intergovernmental Affairs NOA-04
Office of Civil Rights NOA-20
Office of the Chief Counsel NCC-01
Office of Public and Consumer Affairs NOA-40
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ASSOCIATE ADMINISTRATOR FOR RULEMAKING NRM-01
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ASSOCIATE ADMINISTRATOR FOR ADMINISTRATION NAD-01
ASSOCIATE ADMINISTRATOR FOR RESEARCH AND DEVELOPMENT NRD-01
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NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

SUMMARY STATEMENT

The National Highway Traffic Safety Administration was established as a separate agency in the Department of Transportation in March 1970. It succeeded the National Highway Safety Bureau, which had previously administered traffic and highway safety functions as part of the Federal Highway Administration.

NHTSA's programs are authorized basically under three major laws: National Traffic and Motor Vehicle Safety Act (1966), Highway Safety Act (1966) and Motor Vehicle Information and Cost Savings Act (MVICS, 1972).

The Motor Vehicle Act authorizes establishment and enforcement of safety standards for vehicles and equipment, supporting research (including acquisition of testing facilities), and operation of the National Driver Register (NDR). Discrete authorization of NDR was established subsequently by the National Driver Register Act (1982).

The Highway Safety Act (Title 23, USC) provides for coordinated national highway safety grant programs to be carried out with the States (Section 402), along with supporting research, development and demonstrations (Section 403) and highway safety education and information programs (Section 209). Legislation in 1982 authorized incentive grants (Section 408) to States that implement certain laws and programs to reduce crashes involving alcohol and other drugs. The 1988 Anti-Drug Abuse Act authorized a new drunk driving incentive grant program (Section 410) that complements Section 408.

The MVICS Act provides for the establishment of low-speed collision bumper standards, consumer information activities and odometer regulations. Amending legislation in 1975 established the Secretary's responsibility (delegated to NHTSA) for administering automotive fuel economy standards. Legislation in 1984 authorized NHTSA to issue regulations for improving motor vehicle theft protection.

Resource requirements associated with the implementation of these statutory responsibilities and associated amendments are summarized in the following page:

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RESOURCE SUMMARY

Program Resources By Appropriation Account and Legislative Authorization

(Dollars in Thousands)

Appropriation Account	FY 1990 Appropriation	FY 1991 Request
OPERATIONS AND RESEARCH: GENERAL FUNDS (GF)		
Legislative Authorization		
National Traffic and Motor Vehicle Safety Act..........................	$ 65,201	$ 63,506
Sec. 410 Drunk Driving Prevention Grants............................	3,935	8,000
Motor Vehicle Information and Cost Savings Act........................	4,204	4,870
Budget Authority (BA)..	73,340	76,376
OPERATIONS AND RESEARCH: HIGHWAY TRUST FUND (HTF)		
Legislative Authorization		
Sec. 403 Highway Safety Programs, Budget Authority (BA)..	31,756	40,950
O&R Total Budget Authority (BA)..	$105,096	$117,326
HIGHWAY TRAFFIC SAFETY GRANTS		
Legislative Authorization		
Sec. 402 Safety Formula Grants:		
Formula Grants.....................	$109,770	$109,577
Grant Administration..............	4,885	5,078
Program Level (Obligations)..	114,655	114,655
Sec. 408 Alcohol Safety Incentive Grants............................	10,967	10,967
Program Level (Obligations)..	$125,622	$125,622
TOTAL, BA/Program Level.................	$230,718	$242,948

Consultant Services

No funds are provided in the budget for consultant services.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH
FEDERAL FUNDS

For expenses necessary to discharge the functions of the Secretary with respect to traffic and highway safety under the Motor Vehicle Information and Cost Savings Act (Public Law 92-513, as amended), and the National Traffic and Motor Vehicle Safety Act, [$74,550,000] $76,376,000; of which $8,000,000 shall be for carrying out 23 U.S.C 410; and of which [$37,486,000] $36,197,000 shall remain available until expended. (Department of Transportation and Related Agencies Appropriations Act, 1990; additional authorizing legislation has been proposed.)

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DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH

Program and Financing (in thousands of dollars)

Identification Code: 69-0650-0-1-401		FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
	Program by activities:			
	Direct program:			
00.01	Rulemaking programs..........	7,650	8,177	8,911
00.02	Enforcement programs.........	11,639	12,693	13,610
00.03	Highway safety programs......	5,881	12,203	15,142
00.04	Research and analysis........	31,472	38,130	29,546
00.05	Office of the Administrator..	2,415	2,100	2,334
00.06	General administration.......	6,609	6,245	6,833
00.91	Total direct program.......	65,666	79,548	76,376
01.01	Reimbursable programs.........	36,606	38,441	47,828
10.00	Total obligations..........	102,272	117,989	124,204
	Financing:			
	Offsetting collections from:			
11.00	Federal funds.............	-799	-900	-900
13.00	Trust funds...............	-35,601	-36,641	-46,028
14.00	Non-Federal sources........	-206	-900	-900
17.00	Recovery of prior year obligations..............	-534	...	...
21.40	Unobligated balance available, start of year..............	-3,497	-6,208	...
24.40	Unobligated balance available, end of year................	6,208	...	...
25.00	Unobligated balance lapsing..	56	...	...
40.00	Budget authority...........	67,899	73,340	76,376
	Budget authority:			
40.00	Appropriation................	67,899	74,550	76,376
40.00	Reduction pursuant to P.L. 101-164...............	...	-224	...
40.00	Reduction pursuant to P.L. 99-177...............	...	-986	...
43.00	Appropriation (adjusted).....	67,899	73,340	76,376
	Relation of obligations to outlays:			
71.00	Obligations incurred, net....	65,666	79,548	76,376
72.40	Obligated balance, start of year......................	5,542	47,561	50,053
74.40	Obligated balance, end of year......................	-47,561	-50,053	-44,836
77.00	Adjustments in expired accounts..................	-521	...	...
78.00	Adjustments in unexpired accounts..................	-534	...	...
90.00	Outlays....................	22,592	77,056	81,593

NOTE- General fund outlays were decreased by $24 million in 1989 to correct an accounting error in 1988 reports to Treasury.

DEPARTMENT OF TRANSPORTATION

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH

PROGRAM AND PERFORMANCE

Programs funded under the Operations and Research appropriation are described below. Funding levels vary between program activities to reflect current priorities.

1. Rulemaking Programs - Provides for rulemaking activity relative to the promulgation of Federal motor vehicle safety standards for new and used motor vehicles, tires, and equipment; automotive fuel economy standards required by the Energy Policy and Conservation Act; international harmonization of standards; theft prevention; regulatory reform; and information on motor vehicle safety required by the Motor Vehicle Information and Costs Savings Act.

2. Enforcement Programs - Provides for the enforcement of programs described under the rulemaking activity, including manufacturer compliance with motor vehicle safety and automotive fuel economy standards, investigation of safety-related motor vehicle defects, surveillance of odometer tampering and enforcement of theft protection.

3. Highway Safety Programs - Provides for technical assistance to the States in the conduct of their highway safety programs; demonstration programs emphasizing alcohol and drug countermeasures, safety belt and child safety seat usage, automatic protection, improved traffic law enforcement, emergency medical services, and enhanced traffic records systems to reduce highway fatalities and injuries; and operation and improvement of the national driver register. The budget proposes an expanded program to train police officers to detect the presence of illegal drugs in drivers under the influence of alcohol. In an effort to reduce the extent of drunk driving, the FY 1991 budget proposes to double the FY 1990 budget level for Section 410 incentive grants to States under the Drunk Driving Prevention Program (23 U.S.C. 410) which was established in the Anti-Drug Abuse Act of 1988. Funds would become available to States that adopt and implement comprehensive drunk driving prevention programs which are self-sustaining and include measures that will improve enforcement of State drunk driving laws.

Alcohol and drug safety represent major efforts in FY 1991. Police will be trained to detect impaired drivers, and court systems will be trained and strengthened to process higher caseloads. This effort will be conducted through more effective enforcement and court countermeasures, and through special Drug Evaluation and Classification (DEC) measures (that train police to detect drug impairment in drivers) that are being expanded into additional metropolitan areas in FY 1991. Strict license sanctions will be employed for both alcohol and drug-impaired offenders, and servers of alcohol at public events will be trained to follow responsible and safe practices. The NHTSA program will combine a series of measures for the general driving and pedestrian population, and for special, at-risk groups (such as youth) and repeat offenders.

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4. Research and Analysis - Provides motor vehicle safety and highway safety research and development in support of all NHTSA programs, including the collection and analysis of data to identify safety problems, develop alternative solutions, and assess costs, benefits and effectiveness. Research will continue to concentrate on improving vehicle crashworthiness, crash avoidance characteristics of cars, trucks and motorcycles, safety belt usage and alcohol and other drug countermeasures. The budget includes funds to continue a national crash data collection program to improve problem identification, regulatory reform and program evaluation activities. Continued funding for the development of an advanced driver simulator is included in the FY 1991 budget of the Federal Highway Administration, consistent with the joint NHTSA/FHWA responsibility for this project.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH

Object Classification (in thousands of dollars)

Identification Code: 69-0650-0-1-401		FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
	Direct obligations			
	Personnel compensation:			
11.1	Full-time permanent..........	17,586	18,947	20,111
11.3	Other than full-time permanent.................	1,079	747	812
11.5	Other personnel compensation.	303	291	453
	Total personnel compensation..	18,968	19,985	21,376
12.1	Civilian personnel benefits..	2,619	2,563	2,716
21.0	Travel and transportation of persons................	546	370	370
22.0	Transportation of things.....	50	109	109
23.1	Rental payments to GSA.......	2,268	2,759	2,870
23.3	Communications, utilities, and miscellaneous charges......	1,082	1,165	1,195
24.0	Printing and reproduction....	898	380	380
25.0	Other services..............	36,344	46,620	37,654
26.0	Supplies and materials.......	1,081	270	287
31.0	Equipment....................	1,810	1,392	1,419
41.0	Grants, subsidies and contributions.............	...	3,935	8,000
99.0	Subtotal, direct obligations.	65,666	79,548	76,376
99.0	Reimbursable obligations.....	36,606	38,441	47,828
99.9	Total obligations...........	102,272	117,989	124,204

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DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH

Personnel Summary

Identification Code: 69-0650-0-1-401	FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
Total number of full-time permanent positions........................	503	504	506
Total compensable workyears:			
Full-time equivalent employment...	528	517	518
Full-time equivalent of overtime and holiday hours...............	2	2	2

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH
APPROPRIATION

The Operations and Research (O&R) appropriation account provides funding for salaries and expenses, operating expenses and contract programs of the National Highway Traffic Safety Administration. The resources for this account are derived from direct appropriations of Federal funds, appropriations from the Highway Trust Fund, and reimbursements for grant program administration from the Highway Traffic Safety Grants account.

The following tables include O&R budget authority and Grant administration reimbursements for FY 1990 and FY 1991, in terms of both program requirements and object-of-expense categories.

(Dollars in Thousands)

Budget Activities	FY 1990 Appropriation	FY 1991 Request	Change
Rulemaking Programs..............	$ 8,177	$ 8,911	+$734
Enforcement Programs.............	12,693	13,610	+917
Highway Safety Programs*.........	34,143	43,048	+8,905
Research and Analysis Programs...	42,823	43,125	+302
Office of the Administrator......	3,230	3,584	+354
General Administration...........	8,915	10,126	+1,211
Total funding..........	$109,981	$122,404	+$12,423
Appropriations...................	($105,096)	($117,326)	(+$12,230)
Grant Admin. Reimbursements......	($ 4,885)	($ 5,078)	(+$ 193)

* Includes direct appropriations of $3.935 million in FY 1990 and $8.0 million in FY 1991 for Section 410 drunk driving prevention grants.

OPERATIONS AND RESEARCH
ANALYSIS OF FY 1991 INCREASES
(000's)

Administrative Budget

Personnel Compensation and Benefits +$2,827

Of the total requested increase of $2.827 million, $389 thousand is requested for instep promotions; $242 thousand for extension of employee awards; $129 thousand for an extra compensable day in FY 1991; $108 thousand for annualization of four additional positions provided in FY 1990; $317 thousand for annualization of FY 1990 pay raise; $23 thousand for workers compensation; $270 thousand for nine additional positions (five FTE staff-years) requested in FY 1991 and justified in each respective budget activity, and $1.349 million for the FY 1991 pay raise to be effective on January 1, 1991.

Travel +$189

Additional travel funding will be essential as NHTSA staff continues to play key roles in the implementation of all facets of the Drug Evaluation and Classification (DEC) Program. This includes review and analysis of the qualifications of potential new program sites; delivery and management of the various stages of DEC training sequences; conducting briefings for potential participants; and delivering and managing training in DEC-related issues for prosecutors, judges, toxicologists and other specialists. This hands-on management approach is essential to maintain the high degree of standardization necessary to ensure the acceptability of the DEC program to the courts and the scientific community. During FY 1991, the number of program sites will at least double (to 50). In order to select program sites, NHTSA anticipates that 30 site visits will be required to examine the facilities and assess the laboratory capabilities; review standardized field sobriety testing curricula and related training; and assess the proficiency of officers in standardized field sobriety tests. To accommodate program expansion at new and current sites, approximately 60 training sequences, consisting of 3 training events (180 trips total), for police officers will be conducted. In addition, at least six Drug Recognition Expert (DRE) Instructor Schools and approximately 16 training events for judges, prosecutors and other relevant specialists will be held. Much of the work will be carried out by NHTSA-certified DEC instructors, whose services will be provided under cooperative agreements with the participating States. However, a NHTSA staff member will head each site visit task force, and a NHTSA staff member will serve as the training director for all police, prosecutor and judicial instructional events.

Operating Expenses: +$2,301

o Permanent Change of Station/Security Investigations +$110

An increase of $100 thousand is needed for permanent change of station moves in FY 1991. NHTSA is expected to have between six and eight moves at an average cost of $42 thousand. An increase of $10 thousand is needed to cover additional security investigations.

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- Training +$125

  An increase of $125 thousand is needed to augment the training base from $125 thousand to $250 thousand based on the continuing inability of NHTSA to meet basic training needs, particularly those associated with computer technology under the current budget. Additional training would be provided in Oracle, Wang, dBase III, Lotus, Symphony and expert systems courses. In addition, training is required above the current budget for executive, managerial and supervisory courses. Also, training is requried for new initiatives related to affirmative action and to upgrade skills for individuals engaged in highly technical engineering jobs.

- Administrative Services Related Costs +$1,642

  An increase of $1.642 million is requested for administrative services, of which $1.276 million is required to make payment to the OST Working Capital Fund (including $151 rental payment to GSA). Most of the costs in this expense category are fixed. The remaining costs are to provide essential support services, including other interagency reimbursable agreements and contractual support to the Office of Contracts and Procurements and the Office of Administrative Operations. The remaining increase is required to meet inflationary increases for other rent, communications, transportation of things and utilities (+$48); an increase for other services (+$266); and a requested increase of $52 thousand for supplies, materials and equipment.

- Computer Support +$310

  The $310 thousand is to meet additional demands placed on the core systems support portion of the Automatic Data Processing program which includes systems support services, systems maintenance, timesharing, communications and network services, acquisitions and maintenance. NHTSA's conversion to DAFIS has resulted in unanticipated needs for programmer assistance to produce executive report requirements not available through DAFIS. Cost sharing for use of an agency-wide administrative information system has also increased. Finally, increases in support contracts have been necessary to meet system management and user help support at Headquarters and in the Regions.

- Regional Offices +$114

  An increase of $114 thousand is requested for NHTSA's Regional Offices. Funding of $42 thousand is requested for replacement of dated furniture and equipment in five Regional Offices. An increase of $39 thousand is requested for Regional Office training (grants management, computer technology and managment/supervisory). The remaining increase of $33 thousand provides for administrative cost of living adjustments for NHTSA's ten Regional Offices.

Total Administrative Budget

Of the total administrative budget increase of $5.317 million justified above, $4.423 million is deemed to represent expenses of an uncontrollable nature, and is included in the calculation of the FY 1991 base level.

A distributive share of the administrative increase has been included in the budget activity justification as follows:

Rulemaking	+$536
Enforcement	+716
Highway Safety	+1,630
Research and Analysis	+975
Office of the Administrator	+354
General Administration	1,106
Total	+$5,317

Contract Program

Contract program requirements are fully justified under each budget activity.

Proposed total FY 1991 Administrative Expense line item increases are reflected in the following table and included as a pro rata distribution to each budgetary activity.

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH
SUMMARY OF REQUIREMENTS
(Dollars in thousands)

	FY 1990 Appropriation			Base Adjustments									FY 1991
OBJECT OF EXPENSE CATEGORIES:	Operations & Research	NTSB Sec. 402	Total	Awards	Extra Day	In-House Prom	Pay Raise Annualizatn	Add'l FTE	Workmen's Comp	FY 1991 Pay Raise	SLUC	Base Increase	Adjusted Base
Personnel Compensation and Benefits	$32,331	$4,286	$36,617	$242	$129	$389	$217	$608	$23	$1,349	...	...	$39,574
Travel and Transportation of Persons	730	90	820	...	...	...	...	...	...	...	...	...	820
Transportation of Things	163	...	163	...	...	...	...	...	...	...	...	...	163
Administrative	(85)	...	(85)	...	...	...	...	...	...	...	...	...	(85)
Contract Program	(78)	...	(78)	...	...	...	...	...	...	...	...	...	(78)
Rental Payments to GSA	3,953	175	4,128	...	...	...	...	...	...	...	151	...	4,279
Other Rent, Communications and Utilities	1,596	147	1,743	...	...	...	...	...	...	...	...	43	1,786
Printing and Reproduction	570	...	570	...	...	...	...	...	...	...	...	...	570
Other Services	59,339	87	59,426	...	...	...	...	...	...	...	...	1,620	61,046
Administrative	(3,614)	(87)	(3,701)	...	...	...	...	...	...	...	...	(1,620)	(5,321)
Contract Program	(55,725)	(...)	(55,725)	...	...	...	...	...	...	...	...	...	(55,725)
Supplies and Materials	381	50	431	...	...	...	...	...	...	...	...	20	451
Administrative	(92)	(50)	(142)	...	...	...	...	...	...	...	...	(20)	(162)
Contract Program	(289)	(...)	(289)	...	...	...	...	...	...	...	...	...	(289)
Equipment	2,098	50	2,148	...	...	...	...	...	...	...	...	32	2,180
Administrative	(85)	(50)	(135)	...	...	...	...	...	...	...	...	(32)	(167)
Contract Program	(2,013)	(...)	(2,013)	...	...	...	...	...	...	...	...	...	(2,013)
Grants	3,935	...	3,935	...	...	...	...	...	...	...	...	...	3,935
Total Requirements	$105,096	$4,885	$109,981	$242	$129	$389	$217	$608	$23	$1,349	$151	$1,715	$114,804
Personnel Compensation and Benefits	$32,331	$4,286	$36,617	$242	$129	$389	$217	$608	$23	$1,349	...	...	$39,574
Travel	730	90	820	...	...	...	...	...	...	...	...	...	820
Operating Expenses	9,995	509	10,504	...	...	...	...	...	...	...	151	1,715	12,370
Contract Program	58,105	0	58,105	...	...	...	...	...	...	...	...	...	58,105
Grants	3,935	0	3,935	...	...	...	...	...	...	...	...	...	3,935
Total	$105,096	$4,885	$109,981	$242	$129	$389	$217	$608	$23	$1,349	$151	$1,715	$114,804

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH
SUMMARY OF REQUIREMENTS
(Dollars in thousands)

		Program Changes				FY 1991 Request		
OBJECT OF EXPENSE CATEGORIES:	FY 1991 Base	Personal Compnstn	Travel	Operating Expenses	Contract Program	Operatns & Research	HTSA Sec.402	Total
Personnel Compensation and Benefits	$39,174	$270	...	...	...	$35,033	$4,411	$39,444
Travel and Transportation of Persons	820	...	189	...	...	919	90	1,009
Transportation of Things	163	...	...	...	...	163	...	163
Administrative	(85)	...	...	...	...	(85)	...	(85)
Contract Program	(78)	...	...	...	...	(78)	...	(78)
Rental Payments to GSA	4,279	...	...	...	...	4,104	175	4,279
Other Rent, Communications and Utilities	1,786	...	...	...	...	1,639	147	1,786
Printing and Reproduction	570	...	...	...	...	570	...	570
Other Services	61,046	...	...	435	3,041	64,367	155	64,522
Administrative	(5,321)	...	...	(435)	...	(5,601)	(155)	(5,756)
Contract Program	(55,725)	...	...	...	(3,041)	(58,766)	...	(58,766)
Supplies and Materials	451	...	...	...	...	401	50	451
Administrative	(162)	...	...	...	...	(112)	(50)	(162)
Contract Program	(289)	...	...	...	...	(289)	...	(289)
Equipment	2,180	...	...	...	...	2,130	50	2,180
Administrative	(167)	...	...	...	...	(117)	(50)	(167)
Contract Program	(2,013)	...	...	...	...	(2,013)	...	(2,013)
Grants	3,935	...	...	...	4,065	8,000	...	8,000
Total Requirements	$114,404	$270	$189	$435	$7,106	$117,326	$5,078	$122,404
Personnel Compensation and Benefits	$39,174	$270	00	00	00	$35,033	$4,411	$39,444
Travel	820	...	189	...	...	919	90	1,009
Operating Expenses	12,370	...	...	435	...	12,228	577	12,805
Contract Program	58,105	...	...	...	3,041	61,146	0	61,146
Grants	3,935	...	...	...	4,065	8,000	0	8,000
Total	$114,404	$270	$189	$435	$7,106	$117,326	$5,078	$122,404

COMPARISON OF 1990 APPROPRIATION AND 1991 CONGRESSIONAL REQUEST
(000's)

Program Activities	FY 1990 APPROPRIATION				FY 1991 CONGRESSIONAL REQUEST				FY 1991 OVER FY 1990			
	O & R		Grant Admin		O & R		Grant Admin		O & R		Grant Admin	
	Federal	Trust	(Trust)	Total	Federal	Trust	(Trust)	Total	Federal	Trust	(Trust)	Total
Rulemaking												
Permanent Positions	92	0	0	92	94	0	0	94	2	0	0	2
Dollars:												
Sal & Ben	5,467	0	0	5,467	5,855	0	0	5,855	388	0	0	388
Travel	53	0	0	53	53	0	0	53	0	0	0	0
Oper Exp	631	0	0	631	799	0	0	799	168	0	0	168
Contract Prog:												
Veh Saf & CS	844	0	0	844	774	0	0	774	(70)	0	0	(70)
Auto Cons Prog	1,087	0	0	1,087	1,100	0	0	1,100	13	0	0	13
Fuel Economy	95	0	0	95	330	0	0	330	235	0	0	235
Subtotal	2,026	0	0	2,026	2,204	0	0	2,204	178	0	0	178
Total, RM	8,177	0	0	8,177	8,911	0	0	8,911	734	0	0	734
Enforcement												
Permanent Positions	101	0	0	101	101	0	0	101	0	0	0	0
Dollars:												
Sal & Ben	5,237	0	0	5,237	5,607	0	0	5,607	370	0	0	370
Travel	77	0	0	77	77	0	0	77	0	0	0	0
Oper Exp	1,769	0	0	1,769	2,115	0	0	2,115	346	0	0	346
Contract Prog:												
Veh Saf Complnce	3,460	0	0	3,460	3,661	0	0	3,661	201	0	0	201
Defects Invstgn	2,150	0	0	2,150	2,150	0	0	2,150	0	0	0	0
Subtotal	5,610	0	0	5,610	5,811	0	0	5,811	201	0	0	201
Total, ENF	12,693	0	0	12,693	13,610	0	0	13,610	917	0	0	917
Highway Safety												
Permanent Positions	23	77	80	180	23	84	80	187	0	7	0	7
Dollars:												
Sal & Ben	1,438	5,825	3,575	10,838	1,523	6,664	3,677	11,864	85	839	102	1,026
Travel	75	301	76	452	75	490	76	641	0	189	0	189
Oper Exp	340	1,051	0	1,391	403	1,403	0	1,806	63	352	0	415
Contract Prog:												
Alcohol & St Prog	2,796	2,845	0	5,641	0	8,383	0	8,383	(2,796)	5,538	0	2,742
Safety Belt	0	3,285	0	3,285	0	3,529	0	3,529	0	244	0	244
Enforcement & EMS	0	2,902	0	2,902	0	1,604	0	1,604	0	(1,298)	0	(1,298)
Nat'l Driver Registr	3,619	0	0	3,619	5,141	0	0	5,141	1,522	0	0	1,522
Section 410	3,935	0	0	3,935	8,000	0	0	8,000	4,065	0	0	4,065
Subtotal	10,350	11,112	0	21,462	13,141	15,596	0	28,737	2,791	4,484	0	7,275
Total, HSP	12,203	18,289	3,651	34,143	15,142	24,153	3,753	43,048	2,939	5,864	102	8,905

COMPARISON OF 1990 APPROPRIATION AND 1991 CONGRESSIONAL REQUEST
(000's)

Program Activities	FY 1990 APPROPRIATION				FY 1991 CONGRESSIONAL REQUEST				FY 1991 OVER FY 1990			
	O & R		Grant Admin		O & R		Grant Admin		O & R		Grant Admin	
	Federal	Trust	(Trust)	Total	Federal	Trust	(Trust)	Total	Federal	Trust	(Trust)	Total
Res & Analysis												
Permanent Positions	101	45	0	146	101	45	0	146	0	0	0	0
Dollars:												
Sal & Ben	5,786	2,217	0	8,003	6,157	2,383	0	8,540	371	166	0	537
Travel	95	39	0	134	95	39	0	134	0	0	0	0
Oper Exp	1,518	770	0	2,288	1,684	1,042	0	2,726	166	272	0	438
Contract Prog:												
Nat Hwy Res	11,960	1,720	0	13,680	14,269	0	0	14,269	2,309	(1,720)	0	589
Hwy Saf Res	0	3,250	0	3,250	0	3,606	0	3,606	0	356	0	356
Trauma	1,968	0	0	1,968	0	0	0	0	(1,968)	0	0	(1,968)
NCSA	10,595	2,905	0	13,500	7,341	6,509	0	13,850	(3,254)	3,604	0	350
Subtotal	24,523	7,875	0	32,398	21,610	10,115	0	31,725	(2,913)	2,240	0	(673)
Total, R&A	31,922	10,901	0	42,823	29,546	13,579	0	43,125	(2,376)	2,678	0	302
Off/Administrator												
Permanent Positions	29	10	7	46	29	10	7	46	0	0	0	0
Dollars:												
Sal & Ben	1,657	669	295	2,621	1,764	721	304	2,789	107	52	9	168
Travel	47	14	7	68	47	14	7	68	0	0	0	0
Oper Exp	396	145	0	541	523	204	0	727	127	59	0	186
Total, OA	2,100	828	302	3,230	2,334	939	311	3,584	234	111	9	354
Gen Administration												
Permanent Positions	60	20	11	91	60	20	11	91	0	0	0	0
Dollars:												
Sal & Ben	2,963	1,072	416	4,451	3,206	1,173	430	4,809	243	101	14	358
Travel	23	6	7	36	23	6	7	36	0	0	0	0
Oper Exp	2,859	516	509	3,884	3,140	915	577	4,632	281	399	68	748
Contract Prog:												
Program Eval	400	144	0	544	464	185	0	649	64	41	0	105
Total, GA	6,245	1,738	932	8,915	6,833	2,279	1,014	10,126	588	541	82	1,211

COMPARISON OF 1990 APPROPRIATION AND 1991 CONGRESSIONAL REQUEST
(000's)

Program Activities	FY 1990 APPROPRIATION				FY 1991 CONGRESSIONAL REQUEST				FY 1991 OVER FY 1990			
	O & R		Grant Admin		O & R		Grant Admin		O & R		Grant Admin	
	Federal	Trust	(Trust)	Total	Federal	Trust	(Trust)	Total	Federal	Trust	(Trust)	Total
NHTSA												
Permanent Positions	406	152	98	656	408	159	98	665	2	7	0	9
Dollars:												
Sal & Ben	22,548	9,783	4,286	36,617	24,092	10,941	4,411	39,444	1,544	1,158	125	2,827
Travel	370	360	90	820	370	549	90	1,009	0	189	0	189
Oper Exp	7,513	2,482	509	10,504	8,664	3,564	577	12,805	1,151	1,082	68	2,301
Contract Prog	42,909	19,131	0	62,040	43,250	25,896	0	69,146	341	6,765	0	7,106
Total, NHTSA	73,340	31,756	4,885	109,981	76,376	40,950	5,078	122,404	3,036	9,194	193	12,423

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
Breakdown of Resource Requirements by Enabling Act - FY 1990
(Budget Authority)(000's)

	Operations & Res.		(Federal Funds)		HTF - Sec. 403		HTF - Sec. 402			
	Traf. & Mot. Veh. Safety Programs		Mot. Veh. Cons. & Cost Svgs Act		Highway Safety Res. & Develop.		HSTG - Grant Administration		Total	
	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding
RULEMAKING										
Salaries and Supporting Exp.										
Direct Program	50	2,954	16	1,216	...	0	...	0	66	4,170
Mission Support	18	1,035	8	315	...	0	...	0	26	1,350
Operating Expenses	...	421	...	210	...	0	...	0	...	631
Contract Program	...	844	...	1,182	...	0	...	0	...	2,026
Subtotal	68	5,254	24	2,923	...	0	...	0	92	8,177
ENFORCEMENT										
Salaries and Supporting Exp.										
Direct Program	90	4,724	5	250	...	0	...	0	95	4,974
Mission Support	5	286	1	54	...	0	...	0	6	340
Operating Expenses	...	1,682	...	87	...	0	...	0	...	1,769
Contract Program	...	5,510	...	100	...	0	...	0	...	5,610
Subtotal	95	12,202	6	491	...	0	...	0	101	12,693
HIGHWAY SAFETY										
Salaries and Supporting Exp.										
Direct Program	23	1,313	...	0	69	5,693	80	3,651	172	10,657
Mission Support	...	0	...	0	8	433	...	0	8	433
Operating Expenses	...	300	...	0	...	1,051	...	0	...	1,351
Contract Program	...	10,350	...	0	...	11,112	...	0	...	21,462
Subtotal	23	11,963	...	0	77	18,289	80	3,651	180	33,903
RESEARCH AND ANALYSIS										
Salaries and Supporting Exp.										
Direct Program	96	5,597	...	0	43	2,150	...	0	139	7,747
Mission Support	5	284	...	0	2	106	...	0	7	390
Operating Expenses	...	1,318	...	0	...	770	...	0	...	2,088
Contract Program	...	24,523	...	0	...	7,875	...	0	...	32,398
Subtotal	101	31,722	...	0	45	10,901	...	0	146	42,623
OFFICE OF THE ADMINISTRATOR										
Salaries and Supporting Exp.	26	1,512	3	192	10	683	7	282	46	2,669
Operating Expenses	...	355	...	41	...	145	...	0	...	541
Subtotal	26	1,867	3	233	10	828	7	282	46	3,210

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NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
Breakdown of Resource Requirements by Enabling Act - FY 1980
(Budget Authority)(000's)

	Operations & Res.		(Federal Funds)		HTF - Sec. 403		HTF - Sec. 402			
	Traf. & Mot. Veh. Safety Programs		Mot. Veh. Info. & Cost Svgs Act		Highway Safety Res. & Develop.		NHTSA - Grant Administration		Total	
	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding
GENERAL ADMINISTRATION										
Salaries and Supporting Exp.	55	2,702	5	285	20	1,078	11	423	91	4,488
Operating Expenses	...	2,619	...	240	...	506	...	399	...	3,764
Contract Program	...	367	...	32	...	144	...	0	...	543
Subtotal	55	5,688	5	557	20	1,728	11	822	91	8,795
SUMMARY										
Salaries and Supporting Exp.	368	20,667	38	2,311	132	10,143	98	4,285	636	37,406
Operating Expenses	...	6,928	...	378	...	2,482	...	399	...	10,187
Contract Program	...	41,530	...	1,315	...	19,130	...	0	...	61,975
Total	368	69,125	38	4,004	132	31,755	98	4,684	636	109,568

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
Breakdown of Resource Requirements by Enabling Act - FY 1991
(Budget Authority)(000's)

	Operations & Res.		(Federal Funds)		HTF - Sec. 403		HTF - Sec. 402			
	Traf. & Mot. Veh. Safety Programs		Mot. Veh. Info. & Cost Svgs Act		Highway Safety Res. & Develop.		HSTS - Grant Administration		Total	
	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding
RULEMAKING										
Salaries and Supporting Exp.										
Direct Program	51	3,093	17	1,390	...	0	...	0	68	4,483
Mission Support	18	1,090	8	315	...	0	...	0	26	1,405
Operating Expenses	...	533	...	266	...	0	...	0	...	799
Contract Program	...	774	...	1,450	...	0	...	0	...	2,224
Subtotal	69	5,490	25	3,421	...	0	...	0	94	8,911
ENFORCEMENT										
Salaries and Supporting Exp.										
Direct Program	90	5,002	5	323	...	0	...	0	95	5,325
Mission Support	5	302	1	57	...	0	...	0	6	359
Operating Expenses	...	2,008	...	107	...	0	...	0	...	2,115
Contract Program	...	5,711	...	100	...	0	...	0	...	5,811
Subtotal	95	13,023	6	587	...	0	...	0	101	13,610
HIGHWAY SAFETY										
Salaries and Supporting Exp.										
Direct Program	23	1,538	...	0	76	6,654	80	3,753	179	11,945
Mission Support	...	0	...	0	8	460	...	0	8	460
Operating Expenses	...	463	...	0	...	1,443	...	0	...	1,906
Contract Program	...	13,141	...	0	...	15,596	...	0	...	28,737
Subtotal	23	15,142	...	0	84	24,153	80	3,753	187	43,048
RESEARCH AND ANALYSIS										
Salaries and Supporting Exp.										
Direct Program	96	5,967	...	0	43	2,309	...	0	139	8,276
Mission Support	5	285	...	0	2	113	...	0	7	398
Operating Expenses	...	1,684	...	0	...	1,042	...	0	...	2,726
Contract Program	...	21,610	...	0	...	10,115	...	0	...	31,725
Subtotal	101	29,546	...	0	45	13,579	...	0	146	43,125
OFFICE OF THE ADMINISTRATOR										
Salaries and Supporting Exp.	36	1,606	3	205	10	735	7	311	56	2,857
Operating Expenses	...	469	...	54	...	204	...	0	...	727
Subtotal	36	2,075	3	259	10	939	7	311	56	3,584

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
Breakdown of Resource Requirements by Enabling Act - FY 1991
(Budget Authority)(000's)

	Operations & Res.		(Federal Funds)		HTF - Sec. 403		HTF - Sec. 402			
	Traf. & Mot. Veh. Safety Programs		Mot. Veh. Cons. & Cost Svgs Act		Highway Safety Res. & Develop.		NDTS - Grant Administration		Total	
	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding	Pos.	Funding
GENERAL ADMINISTRATION										
Salaries and Supporting Exp.	55	2,921	5	308	20	1,179	11	437	91	4,845
Operating Expenses	...	2,883	...	257	...	915	...	577	...	4,632
Contract Program	...	426	...	38	...	185	...	0	...	649
Subtotal	55	6,230	5	603	20	2,279	11	1,014	91	10,126
SUMMARY										
Salaries and Supporting Exp.	309	21,864	39	2,598	139	11,490	98	4,501	585	40,453
Operating Expenses	...	7,980	...	684	...	3,564	...	577	...	12,805
Contract Program	...	41,662	...	1,588	...	25,896	...	0	...	69,146
Total	309	71,506	39	4,870	139	40,950	98	5,078	585	122,404

RULEMAKING PROGRAMS
(Dollars in Thousands)

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions:	92	94	+2
Dollars:			
Salaries and expenses	$5,520	$5,888	+$368
Operating expenses	631	799	+168
Contract program	2,026	2,224	+198
Total	$8,177	$8,911	+$734

Financing: These activities are financed entirely from Federal funds.

FUNCTIONAL STATEMENT:

The Rulemaking Programs budget activity provides for activities which include the promulgation of Federal motor vehicle safety standards under the National Traffic and Motor Vehicle Safety Act, automotive fuel economy standards promulgated under the Motor Vehicle Information and Costs Savings Act, and various consumer information programs authorized by both of the previously mentioned Acts.

The Rulemaking Program offices develop and recommend safety performance criteria, test procedures, and standards for vehicles and associated equipment, including tires, manufactured or imported for introduction into interstate commerce. In this work, the offices consider the need for motor vehicle safety cost impacts, manufacturing lead time requirements, analyses of extensive data files and the relationship between new requirements and existing standards or other design and performance aspects of motor vehicles. The offices plan, develop, coordinate, and propose corporate average fuel economy standards for passenger and non-passenger vehicles up to 10,000 pounds gross vehicle weight rating, adjustments to such standards, a vehicle theft protection program and procedural regulations for dissemination of such information. Also, the offices cooperate with voluntary standards organizations that are active in these areas, and work to encourage voluntary actions by the industry.

Breakdown of Staffing Resource Requirements
(Dollars in Thousands)

- POSITIONS -

Organizational Element	FY 1990 Appropriation	FY 1991 Request	Assignment to Program Areas: Vehicle Safety and Consumer Standards Programs FY 1990	Assignment to Program Areas: Vehicle Safety and Consumer Standards Programs FY 1991	Assignment to Program Areas: Automotive Consumer Programs FY 1990	Assignment to Program Areas: Automotive Consumer Programs FY 1991
Associate Administrator	9	9	7	7	2	2
Office of Vehicle Safety Standards	41	42	41	42	-	-
Office of Market Incentives	16	17	2	2	14	15
Mission Support Functions	26	26	18	18	8	8
Total Allocation	92	94	68	69	24	25
Salaries and Expenses	$5,520	$5,888	$4,080	$4,322	$1,440	$1,566

Justification for Permanent Positions

Provision is made in each sub-activity for a distributive share of the Associate Administrator's staff and for Mission Support Function positions justified under the General Administration budget activity but shown here because of their key role in achieving various major program objectives. These allocations are shown in the breakdown of positions for each sub-activity.

VEHICLE SAFETY STANDARDS

The Office of Vehicle Safety Standards is dedicated to the reduction of both the frequency and severity of motor vehicle crashes through development and promulgation of Federal Motor Vehicle Safety Standards, and review and amendment of existing standards in response to petitions for rulemaking. A significant portion of these offices' activities include keeping abreast of the rapidly changing state-of-the-art in motor vehicle safety technology and increasing the agency's detailed knowledge of motor vehicle safety problems. Also included are activities to harmonize the Federal Motor Vehicle Safety Standards, without compromising current safety levels, with those of other countries as a means of reducing non-tariff barrier to trade.

National leadership is provided in the development of test devices, test procedures and criteria for the evaluation of motor vehicle safety problems dealing with crash protection, crash survivability, and crash avoidance of motor vehicles and appurtenant equipment. Consideration is given to human factors, biodynamics, engineering factors, cost, weight, and leadtime effects to assure a systems approach in the development of solutions to motor vehicle safety problems. The office enhances its technical capability through sharing of information with industry and liaison with voluntary standard organizations. The results of these efforts lead to the formulation of recommended practices and the issuance of Federal Motor Vehicle Safety Standards as appropriate.

Analytical studies of the costs, leadtime requirements and benefits of these activities are provided by the Engineering System Staff, an element of the office of Vehicle Safety Standards.

The additional engineering position being requested will allow for an overall improvement in vehicle safety rulemaking timeliness and quality in the area of crashworthiness safety. This responds to Congressional emphasis that safety rulemaking accelerate its pace.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
POSITIONS:			
Associate Administrator	7	7	...
Office of Vehicle Safety Standards	41	42	(+1)
Office of Market Incentives	2	2	...
Mission Support Functions	18	18	...
Total	68	69	(+1)

AUTOMOTIVE CONSUMER PROGRAMS

The purpose of the Office of Market Incentives is to develop all regulations and consumer information under Title II of the Motor Vehicle Information and Cost Savings Act and consumer regulations, including the Uniform Tire Quality Grading System, issued under the National Traffic and Motor Vehicle Safety Act; develop methods for making determinations and provide information for issuance to motor vehicle consumers on the relative differences among passenger vehicles as they relate to crash survivability characteristics, damageability, and ease of diagnosis and repair of motor vehicles; and coordinate and maintain related consumer information regulations. The office is also responsible for the Bumper Standard issued under Title I of the Motor Vehicle Information and Cost Savings Act and the Vehicle Theft Prevention Program issued under Title VI of this act. The Title VI requirements include identifying "high theft" carlines, critical vehicle components, and parts marking requirements; reviewing petitions for exemption from the parts marking requirements for vehicles with approved anti-theft devices; and obtaining and publishing insurance information to assess the effectiveness of the theft prevention standard.

Additionally, the office provides national leadership in the planning, development, and issuance of Federal automotive fuel economy standards that are established by statute and rule for cars and light trucks ranging in gross vehicle weight (GVW) to 10,000 lbs. Also included in its function is the monitoring of the effects of the market and the efforts of the manufacturers to improve automotive fuel efficiency, the assessment of fuel economy standards and adjustments requested by manufacturers; the recommendation of procedural regulations for research and development and the development of appropriate relationships with the automotive industry and cooperative relationships with other Federal agencies.

The additional engineering position being requested will augment present staff in order to meet anticipated increases in fuel economy program activity. This will permit NHTSA to strengthen its analytic capability to support goals in fuel conservation and air quality. The agency will use this additional resource to manage various aspects of vehicle fuel economy and the use of alternative fuels.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
POSITIONS:			
Associate Administrator	2	2	...
Office of Market Incentives	14	15	(+1)
Mission Support Functions	8	8	...
Total	24	25	(+1)

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RULEMAKING PROGRAM
RESOURCE SUMMARY

Contract Program
(Dollars in Thousands)

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
Vehicle Safety And Consumer Standards			
Standards Development & ADP Services	$794	$844	$774
Automotive Consumer Programs			
New Car Assessment Program	$1,101	$1,087	$1,100
Fuel Economy Program and Other Programs	$110	$95	$350
Subtotal	$1,211	$1,182	$1,450
Total	$2,005	$2,026	$2,224

These line items are financed entirely from Federal Funds.

PROGRAM: RULEMAKING

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TITLE: VEHICLE SAFETY AND CONSUMER STANDARDS

MAJOR PROGRAM OBJECTIVE

This program provides support for vehicle safety regulatory changes. Specifically, it funds contracts to support near term rulemaking activities. For example, in FY 1989 it supported a contract with the National Institute for Standards and Technology to develop and evaluate procedures for testing the flammability of school bus seating materials. This test procedure development is a key element of NHTSA's rulemaking activities to improve school bus safety. The program is not a substitute for research; rather, it helps NHTSA answer questions that arise during rulemaking.

PROBLEMS AND GOALS

Evaluation of ongoing rulemaking activity and implementation of regulatory reform on a timely basis requires additional data to: analyze regulatory and non-regulatory alternatives, establish cost and lead time data bases, assess the impact on safety of changes in automotive design and manufacture, evaluate petitioned changes to existing standards, and maintain a management information system on the status of rulemaking actions. These tests, analyses, verification of performance test requirements, and accurate estimates of benefits, costs, and lead time are vital to achieving program goals.

OBJECTIVES AND GENERAL APPROACH

To provide information for validation of actions taken toward regulatory reform and rulemaking development, promulgation and implementation, the following tasks will be undertaken:

- Testing and analysis of data to determine which of the existing safety standards should be extended to vehicles not currently covered by those standards.
- Analyses of standards with regard to international harmonization aimed at maintaining or improving safety performance requirements while eliminating possible non-tariff barriers to trade.
- Validation of test results for standards about to be amended or newly implemented to provide adequate justification for the changes or additions.
- Cost, benefit and lead time analyses of both regulatory and non-regulatory alternatives for the development of standards and amendments to existing standards.
- Evaluation of crash avoidance data bases to determine the most complete and accurate data for present and future crash avoidance rulemaking activities.

BENEFITS

The results of these analyses will serve to validate the practicality, credibility and defensibility of final rulemaking actions, to verify safety performance levels, to determine cost, benefit, and leadtime assessments, and to evaluate alternatives for final rulemaking actions. Information derived from these investigations will facilitate the development and issuance of appropriate safety standards and amendments to existing standards, and produce the data needed to respond to queries and comments from internal and external organizations.

ACCOMPLISHMENTS

Approximately 125 rulemaking actions were evaluated, processed, and appropriate action taken in 1988. These included petitions from the public for rulemaking, inconsequentiality petitions, advanced notices of proposed rulemaking (ANPRM), notices of proposed rulemaking (NPRM), and final rules. Work in the following areas was carried out under the FY 1989 and FY 1990 appropriations:

In the area of Crash Avoidance

- International Harmonization - We anticipate that work on harmonization of passenger cars will be completed in FY 1989. However, research and testing will be necessary to further investigate the feasibility of extending the harmonized requirements to light trucks.
- Accident Avoidance Data Analyses - Qualitative evaluation of data bases was carried out for application to analysis of rulemaking proposals.
- Lighting - Testing on various vehicles to new proposed forward visibility requirements anticipated in FY 1990.
- Lighting - Testing on new headlamp reform proposal on road and sign illumination glare evaluation expected in FY 1990.
- Braking - In FY 1990 we anticipate the formulation and testing of reference brake fluid.

In the area of Crashworthiness

- Pedestrian Safety - In FY 1989, the agency worked toward the development of an NPRM to require improvement in the dynamic stiffness of vehicle hoods to reduce the risk of pedestrian head injury.

- Child Safety - In FY 1989, the agency issued NPRMs to improve the performance of the 3-year old size dummy used in testing of child safety seats and to establish the specifications for a 6-year old size dummy. The agency started to address the special requirements of premature and newborn infants for child safety seats in response to a petition for rulemaking. In FY 1990, the agency will proceed with the development of test procedures relevant to child safety seats for premature and newborn infants.
- School Bus Safety - In FY 1989, the agency issued ANPRMs to obtain information relevant to several areas of school bus crashworthiness in response to the Carrollton, KY, school bus crash. These areas are: emergency exits, fuel system integrity and flammability of interior materials. A study was initiated for the development of a laboratory test protocol for evaluating the flammability performance of materials used in the interior of school buses.
- School Bus Safety - In FY 1989, the agency conducted crash tests on school buses to determine joint strength.
- Cost and Leadtime Study - In FY 1989, the agency conducted a study to identify improved steering column designs and to develop cost and leadtime estimates.
- Cost and Leadtime Study - In FY 1989, the agency conducted a study to which provided estimates for incorporating energy absorbent steering columns in cars and light trucks.
- Cost and Leadtime Study - In FY 1990, the agency expects to conduct a cost and leadtime study to improve head protection for vehicle occupants whose heads strike roof rails and A-pillars during side impact crashes.

RESOURCE REQUIREMENTS ($000's)		
	FY 1989 Appropriation	$794
	FY 1990 Appropriation	$844
	FY 1991 Request	$774

PLANNED UNDER FY 1990 APPROPRIATION AND FY 1991 REQUEST

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
Vehicle Safety Standards			
1. Standards Development and ADP	$794	$844	$774

The testing, analyses, and studies planned will facilitate timely reaction to issues related to new or amended standards. This level of funding represents the resources needed to deal with approximately 150 petitions, amendments, notices and final rules each year. Cost and lead time analysis activities are undertaken to evaluate the rationality and practicability of proposed changes or new requirements. The funds for FY 1991 will allow for the establishment of a cost, weight and leadtime data reference base to be used in crashworthiness and crash avoidance rulemaking and other analyses. At the present time, our cost data base is approximately 10 years old and represents outdated technologies.

Funds for international harmonization activities, aimed at avoiding or eliminating non-tariff barriers to trade, will be used in the areas of improved safety systems for school buses, passenger car and and heavy duty truck brake test procedures, side impact protection, vehicle lighting, and safety glazing. Continued emphasis will be given to updating existing standards and regulations in line with recent advances in technology. ADP services are provided at a level of $100,000 for conducting sophisticated analysis of complex engineering problems associated with the development of solutions to motor vehicle safety problems; performing analysis of engineering data produced by various test programs; database management for planning, tracking and reporting on Rulemaking activities. This level of funding also covers support for in-house microcomputers. During FY 1989, funds were utilized for maintenance, repairs, and replacement of the OVSS network, microcomputers and word processors, and a modest growth in ADP work stations and software packages as additional capacity was needed. It is anticipated that FY 1991 funds will be utilized similarly.

The following work will be accomplished at the FY 1991 request level:

In the area of Crash Avoidance (FY 1991)

- International Harmonization - We anticipate that work on harmonization of brake standards for passenger cars will be completed by FY 1991. However, research and testing will be necessary to further investigate the feasibility of extending the harmonized requirements to light trucks.

- Light Vehicle Braking - Research may be necessary to develop requirements for performance of newer braking developments such as integrated antilock systems, and improved and electro-mechanical parking brakes.

- Light Vehicle Stability - The issue of handling and rollover stability of light vehicles, particularly utility vehicles, is anticipated to be in the rulemaking stage by FY 1991. Research and testing will be necessary to develop and refine test procedures.

- Brake Linings - Research to define methods of classifying and/or rating brake linings for all vehicles is expected to be an active subject into FY 1991 and beyond.

- Tires - Our existing tire standards are in need of review and update, having been developed prior to the widespread use of radial tires. By FY 1991, we anticipate the initiation of major updating of tire standards, which will require extensive research. This work may also encompass new concepts such as non-pneumatic and inverted flange tires.

- Lighting - The issuance of a lighting notice in the Spring of 1989 has introduced a revolutionary approach wherein roadway illumination systems are based upon real roadway needs rather than traditional photometric requirements applicable to each lamp type. It is anticipated that industry and public reaction will result in the need for further research and testing which will be ongoing in FY 1991.

In the area of Crashworthiness (FY 1991)

- Ejection Mitigation - Work will continue to establish the practicability of new performance requirements on pillar and roof rail padding, door latches and side door glazing to reduce the risk of ejection through the side door area in motor vehicle crashes.
- Chest Deflection - The agency is due to make a decision to resolve the issue of 2.0 inch vs. 3.0 inch for the chest deflection limit of unrestrained H-III dummies in frontal crashes by September 1, 1990. It is anticipated that further testing of the modified chest of the H-III dummy will be needed during FY 1991.

In the area of Cost, Weight and Leadtime Analysis (FY 1991)

During FY 1991, requested resources will be used for the following projects:

1. A complete cost and weight teardown of a contemporary mini-van or multipurpose vehicle. This effort will establish a computerized state-of-the art cost, weight, and leadtime data base for evaluating proposed standards, industry cost estimates and petitions.
2. Cost and Weight Analysis - Side intrusion (dynamic) for light trucks, vans, and multipurpose vehicles.
3. Cost and Weight Analysis - pedestrian protection for light trucks, vans and multipurpose vehicles.
4. Other projects as resources permit or in lieu of the above as priorities dictate.

These projects will provide the necessary cost, weight and leadtime data to support safety rulemakings or non-regulatory alternatives.

The FY 1991 request is intended to continue FY 1990 efforts which include a teardown analysis of a representative MY 1990 passenger car. No vehicle teardowns have been conducted subsequent to the 1979 model year. Technologies of production processes, component materials, inside/outside labor rates, and average fleet weights have changed dramatically. The goal of this initiative is to develop data through a complete teardown of a 1990 model year passenger car. The resulting data will be computerized and formatted for retrieval and analysis.

The data bank will be able to quickly furnish reference values for developing comparative cost estimates, evaluate the reasonableness of industry submitted estimates and, to a degree, assist in detailed cost estimating. The data also can assist in developing automated costing methodologies which will be easy to use by Standards Engineers and Analysts who have limited motor vehicle high-volume cost estimating backgrounds.

Cost, weight and leadtime contract studies planned in FY 1989 included:

1. Improved side impact protection on pillars and rails of passenger cars and light trucks.
2. Improved steering column designs.
3. School bus roof and side window emergency exits.

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AUTOMOTIVE CONSUMER PROGRAMS

MAJOR PROGRAM OBJECTIVES

Plan, design, and implement new and innovative programs which primarily use market forces to encourage the production of motor vehicles which are safer and less costly to own and operate. This is accomplished through consumer information and related programs designed to stimulate voluntary efforts in the areas of motor vehicle safety, fuel economy, damageability, and tire quality.

A second objective is to develop the regulations and consumer information materials required under Titles I, II, V, and VI of the Motor Vehicle Information and Cost Savings Act as amended, and the consumer regulations required by the National Traffic and Motor Vehicle Safety Act.

PROBLEM AND GOALS

The number of deaths and serious injuries on the nation's highways continues to be a major problem. Additionally, the cost of owning and operating a vehicle, including fuel usage, damage repair and automobile theft, continues to be a major economic burden.

OBJECTIVES AND GENERAL APPROACH

The proposed Automobile Consumer Program consists of:

- A New Car Assessment Program to develop relative crashworthiness information for consumers to assist them in selecting and purchasing safer motor vehicles. Information on child safety seat systems will also be disseminated.

- A Fuel Economy Program to monitor the progress in achieving established passenger automobile and light truck fuel economy standards and to issue and amend standards, as appropriate.

- A Tire Program to determine tire performance characteristics and develop information for distribution to consumers to assist them in making tire purchases.

- A Theft Program to establish standards for the reduction of automobile thefts and to foster a reduction of consumer premiums for comprehensive insurance.

BENEFITS

Through implementation of these programs, consumers will have more and better comparative information on the safety and damageability performance of motor vehicles, and the safety of child safety seat systems. The resulting market forces will encourage manufacturers to produce safer vehicles and improved child safety seat systems. Additionally, consumers will benefit in economic terms from a reduction in the number of automobile thefts, improved fuel economy of passenger cars and light trucks, and information on tire performance.

ACCOMPLISHMENTS

Under the New Car Assessment Program (NCAP), in which the comparative safety performance of new motor vehicles under controlled crash conditions is evaluated, frontal impact tests on 304 makes and models have been conducted since 1979. Thirty-four vehicles will be tested in FY 1989 and thirty are expected to be tested in FY 1990. The performance data are made available to the public and industry through press releases and technical presentations. The testing of selected early introductions of new 1989 models enabled the agency to release its first MY 1989 press release in December 1988, the earliest month ever for the first NCAP press release.

In FY 1989, the agency received requests from two manufacturers to retest two vehicles under the optional NCAP testing by manufacturers. Under this voluntary program, manufacturers retest vehicles which have been previously tested in NCAP and later modified to improve occupant protection, at their own expense and using existing NCAP test procedures. Test results are published in agency NCAP press releases. This adjunct to NCAP allows data on more vehicles to become available to the public sooner without incurring additional Government expense.

The agency continues to monitor the capability of automotive manufacturers to meet existing fuel economy standards. A contractual effort to evaluate the fuel economy improvement potential and cost of engine friction reduction was completed. The agency has issued a questionnaire to light truck manufacturers in preparation for establishing standards for light truck fuel economy for MY's 1992-1994. The agency is also gathering information in preparation for setting driving ranges for alcohol dual energy and natural gas dual energy passenger cars and has prepared a report to Congress on regulatory changes needed to promote the introduction and production of electric vehicles, as required by the Alternative Motor Fuels Act of 1988.

As a result of an extensive review of tire treadwear testing variability, the agency issued an NPRM in 1989 proposing several changes to the test procedure. The agency is evaluating the comments on these proposals.

In FY 1988, the agency completed a series of actions required by Title VI of the Motor Vehicle Information and Cost Savings Act to reduce and deter motor vehicle theft. The agency published listings of motor vehicle insurers required to compile and submit annual reports to the agency on motor vehicle thefts and recoveries, the effect of the theft prevention standard on those thefts and recoveries, and related comprehensive insurance practices. In 1989, the agency issued a notice of proposed rulemaking to reduce the annual theft reporting burden for over 4,000 rental and leasing companies by specifying that only the largest of the companies (fewer than 20) provide the annual theft report. The agency also published final theft data for MY 1986 and MY 1987 car lines, and a list of car lines subject to the parts-marking requirements for MY 1989. The agency received and processed three petitions in FY 1988 and three petitions in FY 1989 for exemption from the parts-marking requirements for vehicles equipped with original equipment antitheft devices. The agency also designated high-theft car lines for MY 1990.

RESOURCE REQUIREMENTS ($000's)

FY 1989 Appropriation	$1,211
FY 1990 Appropriation	$1,182
FY 1991 Request	$1,450

PLANNED UNDER FY 1990 ESTIMATE AND FY 1991 REQUEST

		FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
1.	New Car Assessment Program	$1,101	$1,087	$1,100

The 1991 New Car Assessment Program (NCAP) will assess the vehicle crashworthiness and safety performance of 34 popular new models, at a cost of $989,000. This represents the testing of 4 more vehicles than were tested in previous years. The continued success of NCAP requires penetration into both the popular high-volume passenger cars and into the rapidly expanding market segment of light trucks. The increase in the number of NCAP vehicles reflects the growth in light trucks from 25 percent of the market in 1985 to over 30 percent in 1988.

The child safety seat program will continue in FY 1991 at an estimated cost of $61,000. This program will expand the assessment of more models and will highlight design and performance factors for consumers. The dissemination of consumer information will be enhanced by providing video tapes for media use, similar to those used in NCAP.

Funds for ADP services in FY 1991 ($50,000) will provide the capability for analyzing complex engineering problems, data reduction, maintenance, repair, replacement and expansion (as needed) of the computer network. These funds include an allocation for the agency's computer upgrades and service.

FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
$110	$95	$350

2. Other Market Incentive Activities

Work will continue in the Motor Vehicle Theft Prevention Program to implement the regulations issued by the agency. Emphasis will be placed on disseminating the information received as a result of insurers complying with the insurer reporting requirements. About 30,000 to 50,000 data entries are expected annually from the annual insurer reports and will be compiled, processed, reviewed, and disseminated at a cost of $60,000. Additionally, the agency will update its vehicle theft data analyses at an estimated cost of $50,000, select likely high-theft car lines for inclusion in Appendix A to 49 CFR Part 541; and select insurers subject to the insurer reporting requirements. Finally, the agency will act on new petitions for exemption from the Theft Prevention Standard.

The remaining $240,000 of the FY 1991 request will be used to conduct studies and regulatory analyses related to future fuel economy standards for passenger cars and light trucks. The request is dominated by the need for contract studies to restore the agency's knowledge and capabilities relating to manufacturer technological capabilities. This effort will explore the fuel economy potential of some of the technologies that appear to have near-term potential applications to improve fuel economy, such as two-cycle engines, the application of continuously variable automatic transmissions to larger vehicles, direct injection diesel engines, and variable valve timing.

Other agency activities in the areas of consumer information regulations will be conducted in vehicle safety, bumper standards and tire grading.

ENFORCEMENT PROGRAMS
(Dollars in Thousands)

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions:	101	101	...
Dollars:			
Salaries and expenses	$5,314	$5,684	+$370
Operating expenses	1,769	2,115	+346
Contract program	5,610	5,811	+201
Total	$12,693	$13,610	+$917

Financing: These activities are financed entirely from Federal funds.

FUNCTIONAL STATEMENT

Responsible for enforcement of programs conducted under the rulemaking activity and the conduct of safety defect investigations. For enforcement purposes, rulemaking activities include promulgation of Federal motor vehicle safety standards for all motor vehicles, items of motor vehicle equipment, automotive fuel economy standards required by the Energy Policy and Conservation Act; programs requiring economical bumpers withstanding low speed collisions; and the odometer regulation.

Breakdown of Staffing Resource Requirements
(Dollars in Thousands)

- POSITIONS -

Organizational Element			Assignment to Program Areas					
	FY 1990 Appropriation	FY 1991 Request	Vehicle Safety Compliance		Defects Investigation		Odometer Fraud Staff	
			FY1990	FY1991	FY1990	FY1991	FY1990	FY 1991
Associate Administrator	4	4	2	2	2	2	-	-
Office of Defects Investigation	47	47	-	-	47	47	-	-
Odometer Fraud Staff	5	5	-	-	-	-	5	5
Office of Vehicle Safety Compliance	37	37	37	37	-	-	-	-
San Angelo Tire Test	2	2	2	2	-	-	-	-
Mission Support Functions	6	6	2	2	3	3	1	1
Total Allocation	101	101	43	43	52	52	6	6
Salaries and Expenses	$5,314	$5,684	$2,262	$2,420	$2,736	$2,926	$316	$338

Justification for Permanent Positions

Provision is made in each sub-activity for a distributive share of the Associate Administrator's staff and for Mission Support Function positions justified under the General Administration budget activity but shown here because of their key role in achieving various major program objectives. These allocations are shown in the breakdown of positions for each sub-activity.

VEHICLE SAFETY COMPLIANCE

The Office of Vehicle Safety Compliance provides the testing, inspection and investigation necessary to assure compliance by foreign and domestic motor vehicle and equipment manufacturers with the Federal Motor Vehicle Safety Standards and the notification requirements of the National Traffic and Motor Vehicle Safety Act of 1966, as amended, and conducts the necessary investigations under Title I and V of the Motor Vehicle Information and Cost Savings Act of 1972, as amended, regarding the bumper damageability regulation, and compliance with manufacturer fuel economy standards and the Gas Mileage Guide Regulation; and carries out enforcement aspects under the Motor Vehicle Theft Act.

	FY 1990 Appropriation	FY 1991 Request	Increase (+) or Decrease (-)
Positions:			
Associate Administrator	2	2	...
Office of Vehicle Safety Compliance	37	37	...
San Angelo Tire Test	2	2	...
Mission Support Functions	2	2	...
TOTAL	43	43	

DEFECTS INVESTIGATION

The Office of Defects Investigation (ODI) provides testing, inspection, and investigation necessary for the identification and correction of safety-related defects (other than non-compliances with promulgated Federal Motor Vehicle Safety Standards) disclosed in foreign and domestic motor vehicles and appurtenant equipment, and the safety-related defect notification requirements of the National Traffic and Motor Vehicle Safety Act of 1966, as amended. Provision is also made for the operation of the NHTSA ODI Toll-free Hotline which provides a means for the public to report vehicle defects for possible investigative action and to receive information of safety defect recall campaigns. Conducts investigations to determine violations of odometer fraud under Title IV of the Motor Vehicle Information and Cost Savings Act, as amended.

	FY 1990 Appropriation	FY 1991 Request	Increase (+) or Decrease (-)
Positions:			
Associate Administrator	2	2	...
Office of Defects Investigation	47	47	...
Mission Support Functions	3	3	...
TOTAL	52	52	

ODOMETER FRAUD STAFF

The Odometer Fraud Staff consists of a Chief, Secretary, and four Automotive Enforcement Investigators located at Regional Offices in Boston, Atlanta, Kansas City, and San Francisco. The country has been divided into four Enforcement Regions and each investigator conducts investigations of odometer fraud in his Region for referral to the Department of Justice for criminal prosecution. In addition, each investigator works closely with State enforcement agencies located in his Enforcement Region assisting them in their odometer fraud investigations and encouraging aggressive enforcement of their odometer laws and regulations.

	FY 1990 Appropriation	FY 1991 Request	Increase (+) or Decrease (-)
Positions:			
Odometer Fraud staff	5	5	...
Mission Support Functions	1	1	...
TOTAL	6	6	...

ENFORCEMENT PROGRAMS

RESOURCE SUMMARY
Contract Program

(Dollars in Thousands)

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
Vehicle Safety Compliance	$3,663	$3,460	$3,661
Defects Investigation	$2,018	$2,150	$2,150
Total	$5,681	$5,610	$5,811

These line items are financed entirely from Federal funds.

FISCAL
YEAR
1991

TITLE: VEHICLE SAFETY COMPLIANCE AND FUEL ECONOMY

MAJOR PROGRAM OBJECTIVES:

To identify and secure remedies of noncompliances with Federal Motor Vehicle Safety Standards. Provide a general noncompliance deterrence by continuing a vehicle and equipment compliance testing program covering a representative sample of passenger cars and other vehicle types, and a representative sample of equipment items (child seating systems, safety belts, brake hoses, brake fluids, and tires). Enforce the fuel economy standards.

PROBLEM AND GOALS:

Approximately 16 million passenger cars and other vehicle types are estimated to be produced annually for sale in the United States in approximately 700 make/model combinations. The failures experienced in the compliance testing program indicate the need for the surveillance afforded by continued monitoring of manufacturer performance.

Passenger cars and light trucks consume nearly one half of the total petroleum used for the transportation of people and goods in the United States.

The continuing program to ensure compliance includes the following:

- Conduct a vehicle and equipment compliance test program under contract.

- Collect and evaluate data and information from manufacturers on their basis for certification of compliance with the Federal Motor Vehicle Safety Standards.

- Conduct investigations of possible noncompliances to secure voluntary recalls.

- Support litigation activities seeking recalls and assessments of civil penalties.

- In cooperation with the U.S. Customs Service, enforce the regulations governing the importation of motor vehicles and items of motor vehicle equipment.

- Evaluate each manufacturer's compliance with the average fuel economy standards, and assess and collect fines for not meeting fuel economy standards.

BENEFITS:

An increased awareness by the manufacturers and importers of their responsibility to comply with Federal Motor Vehicle Safety Standards (FMVSS), associated regulations, and the Fuel Economy Standards. Recall and corrective action by manufacturers whose products are found to be in noncompliance with the safety standards, leading to safer vehicles on the nation's highways.

ACCOMPLISHMENTS:

From the inception of the Motor Vehicle Safety Act in 1966 through FY 1988, 3,023 investigations of possible noncompliances were initiated, of which 2,911 have been completed and are now closed. Also 626 standards noncompliance recall campaigns were initiated involving 5.998 million vehicles. Of these, NHTSA has influenced 262 recall campaigns involving 3.4 million vehicles. Civil penalties collected totaled $2,871,050.

Passenger car total fleet fuel economy for 1989 is projected to be 28.3 mpg, an increase from 28.1 mpg in 1986, but a decrease from 28.5 mpg in 1987 and 28.7 mpg in 1988.

RESOURCE REQUIREMENTS ($000):

FY 1989 Appropriation	$3,663
FY 1990 Appropriation	$3,460
FY 1991 Request	$3,661

PLANNED UNDER FY 1990 APPROPRIATION AND FY 1991 REQUEST:

Compliance Testing	FY 1990	FY 1991
Number of Standards in Effect	49	49
Number of Standards Scheduled for Testing	30	30
Number of Compliance Tests Scheduled	626*	675
Number of Equipment Items Scheduled	1,632**	1,650
Number of Vehicles Scheduled for Testing	85***	95

* Previous budget requests have listed a larger number of scheduled compliance tests. The revised, lower number listed above reflects a changed emphasis to include more vehicle tests and additional vehicle testing standards. This revised strategy often requires only one test item (the vehicle) per test but is nonetheless more costly than running a multitude of repetitive equipment item tests. For example, in the future less testing will be done on headlamps (294 tests reduced to 88 tests), passenger car tires (150 reduced to 75) and door hinges/latches (32 reduced to 16); however, more testing (25 vehicle tests versus 20 tests in earlier years) will be conducted on passenger cars equipped with automatic occupant protection systems (under the 208 Vehicle Standard).

** Previous budget requests have listed a larger number for equipment items scheduled for test. This lower number does not reflect a reduced emphasis on compliance testing of equipment items, but instead a greater effort to include additional testable standards which involve fewer individual items in each test. For example, fewer tests will be run on hazard warning flashers (each compliance test involving 50 item samples).

***A test vehicle lease program for nondestructive testing was started in FY 1989 in order to reduce test scheduling time, the cost of transferring test vehicles between contractor laboratories, and the overall cost of vehicle procurement. Beginning in the FY 1991 budget request, the program activity measure "Vehicle Scheduled for Testing" will reflect the numbers of vehicles purchased and leased. For FY 1990, 55 vehicles will be purchased and 30 vehicles leased; and for FY 1991, 60 vehicles will be purchased and 35 vehicles leased.

Estimated work to be accomplished in FY 1990 includes 221 compliance tests of a representative sample of the vehicle market (55 vehicles purchased and 30 vehicles leased) including passenger cars, multipurpose passenger vehicles, trucks and buses. In addition, 405 compliance tests of motor vehicle equipment (approximately 1,632 items) will be conducted. Compliance statements will continue to be processed for Gray Market imports for timely release of bonds which are posted to ensure modification to bring the vehicles into compliance with the safety standards. Other expenditures will include: minicomputer and microcomputer hardware and support services; software and supplies; compliance testing in response to consumer complaints; retests to support apparent noncompliances; storage of test vehicles; and shipment of test items.

As a result of the 1986 GAO audit report, and the recommendations made by the DOT Safety Task Force, the FY 1990 compliance test program includes two safety standards, FMVSS Nos. 122, "Motorcycle Brake Systems," and 125, "Warning Devices," (that have not been tested in the last 5 years) in the total of 30 standards being tested (NOTE: there are 39 testable standards and 10 nontestable standards for which compliance is determined by visual inspection). Information on the basis of a manufacturer's certification will continue to be collected from selected manufacturers for some standards which are not included in the test program. In addition, visual inspections will continue to be conducted for all 10 nontestable safety standards.

Thirty safety standards will be included in the FY 1991 test program. By FY 1991, all of the 39 testable standards will have been tested in the last 5 years. Visual inspections for the 10 nontestable standards will continue to be conducted along with the continued collection of manufacturer's certification information for some nontested standards. Standards being tested will be rotated so that all 39 will be tested during a period of 5 years.

The requested increase in program funding for FY 1991 will be used to cover expenditures associated with the increased level of testing (vehicle and equipment testing services) related to the 1986 GAO audit report and the previous expansion of FMVSS 208, "Occupant Crash Protection," to include all passenger cars sold in the U.S. In addition, a program to provide a higher degree of surveillance over all segments of the regulated industry was begun in FY 1988. Information gathered during FY 1988 and FY 1989 indicates inadequate compliance to Federal Motor Vehicle Safety Standards by smaller manufacturers in specialized vehicle industries. The two areas selected for primary review are the recreational vehicle and stretch limousine industries.

Final details of the FY 1991 testing program and the detailed funding breakdown are contingent on the results of the FY 1990 test program.

FISCAL
YEAR
1991

TITLE: DEFECTS INVESTIGATIONS AND ODOMETER ENFORCEMENT

MAJOR PROGRAM OBJECTIVES:

To reduce the number of safety-related defects in motor vehicles used on the nation's highways by ensuring that manufacturer defect notifications are made as required by law and to assure that required corrective action is accomplished before crashes, injuries, and deaths occur.

To reduce odometer fraud by enforcing the Federal odometer laws and regulations through investigations for criminal prosecution and encouraging aggressive enforcement of State odometer laws.

PROBLEM AND GOALS:

Motor vehicles and motor vehicle equipment may be produced with safety-related defects. In those cases where the manufacturer reports these defects voluntarily, its procedures and corrective actions must be monitored. In other cases where alleged safety-related defects are reported by the public, investigative actions are required to determine whether a safety-related defect exists in order to convince manufacturers to voluntarily conduct recalls, or to order recalls.

The continuing program to ensure that safety-related defects are corrected and odometer laws enforced includes the following:

- Analysis of available information to detect possible defects.
- Providing the investigative and technical expertise to determine the facts surrounding suspected defects through testing, field investigations, and surveys.
- Surveillance of the manufacturers' defect notification (recall campaign) systems and procedures.

About 60 percent of the approximately 4 million new cars that are sold to fleet and leasing companies and subsequently end up in the used car market have had their odometers turned back. This falsely increases the value of these cars and fraudulently costs consumers buying such cars more than $3 billion annually. Strong enforcement of the Federal and State odometer laws, i.e., prosecutions with stiff sentences, appears to be the most effective deterrent. Recognizing this, Congress enacted the Truth in Mileage Act of 1986 which upgraded violations of the Federal odometer law from a misdemeanor to a felony and required establishment of a "paper trail" of mileage disclosures on State title documents. Because the problem is too large for a solely Federal enforcement effort, and because it often involves intrastate only fraud, emphasis is placed on encouraging State agencies to enforce State laws, and assisting them in their investigations. Large scale odometer fraud schemes are targeted as the resulting publicity of arrests and convictions, and stiff sentences act as an effective deterrent.

The continuing program to deter odometer fraud includes the following:

- Investigating large-scale odometer fraud schemes for prosecution by the Department of Justice.
- Encouraging State enforcement agencies to aggressively enforce State odometer laws and assisting them in their investigations, particularly those involving interstate schemes.
- Monitoring State motor vehicle titling systems for weaknesses which facilitate odometer fraud and encouraging procedures to correct these weaknesses.
- Increasing public awareness of odometer fraud and rights of consumers.

BENEFITS:

A reduction in the frequency of defective vehicles operating on the highways. Increased awareness by the manufacturers of their responsibilities and increased public awareness of the existence of safety-related defects in their vehicles.

The reduction of millions of dollars in consumer fraud through an effective odometer enforcement program and an increase in consumer awareness.

ACCOMPLISHMENTS:

From inception of the Act in September 1966 to November 30, 1989:

- 138.6 million vehicles have been recalled in 4,612 campaigns.
- 784 campaigns involving 73.7 million vehicles were directly influenced by NHTSA investigations.

Since inception of the odometer enforcement program in July 1978:

- 889 investigations involving 4,138 vehicles completed which substantiated odometer violations. 174 cases were referred to the Department of Justice for criminal prosecution; 175 cases were referred to State enforcement agencies for legal action at that level; and results of the remainder of investigations were provided to consumers for private civil actions.

RESOURCE REQUIREMENTS ($000):

FY 1989 Appropriation	$2,018
FY 1990 Appropriation	$2,150
FY 1991 Request	$2,150

PLANNED UNDER THE FY 1990 APPROPRIATION AND FY 1991 REQUEST:

In response to this program's reactive nature, the Office of Defects Investigation (ODI) and the Odometer Fraud Staff will continue to:

- Conduct Preliminary Evaluations and Engineering Analyses by reviewing consumer complaints, conducting tests, querying manufacturers, examining failure trends, checking service bulletins, and inspecting vehicles and parts to define alleged defects. When an Engineering Analysis does not result in a voluntary recall, initiate Formal Investigation of potential safety-related defects when necessary. Investigative support is supplied by outside contractors to expand the capabilities of the staff of professional investigators. These contractors include automobile clubs, diagnostic centers, investigatory interviewers, statistical surveyors, testing laboratories, and computer analysis specialists.
- Process, through the Auto Safety Hotline, an estimated 300,000 or more expected requests from the public for recall information, defect report forms, vehicle safety information, and intra and interagency referral information. The operators, through an automated processing system, will mail a printed copy of the requested recall information or vehicle owner's defect report within 24 hours.
- Assist owners who are having difficulty with recall service to obtain the required corrective action.
- Conduct audits of recalls to assure the dealers accomplish the correct actions which the recall campaign requires.
- Work with manufacturers to improve recall percentages.

During FY 1991, the Office of Defects Investigation will continue to gather vehicle complaint data, pursue approximately 100+ ongoing investigative actions consisting of Preliminary Evaluations, Engineering Analyses, and Formal Investigations to determine if alleged or potential safety-related defects exist in motor vehicles and related equipment, and oversee and audit manufacturers' recall campaigns. This program continues to be reactive in nature, but it is anticipated that an increases in case load will occur over anticipated FY 1990 levels due to enhancements in our ability to receive and process complaint information.

In FY 1991, ODI will also continue its efforts to increase public awareness of the agency, its defects program, and the Hotline.

During FY 1990 and FY 1991, the Odometer Fraud Program will continue to conduct investigations of odometer fraud for civil and criminal prosecutions at the Federal level and finalize implementation of the new odometer law. In addition, liaison with States will be continued to encourage them to:

- Conduct investigations and prosecutions under existing State laws.
- File injunctions against violators and recover damages for defrauded consumers as provided for in Section 411 of the Motor Vehicle Information and Cost Savings Act.
- Attend interstate conferences which will allow State enforcement agencies to exchange intelligence information and techniques for investigations and prosecutions.
- Assist in revising State odometer laws to conform to the new Federal odometer law.

HIGHWAY SAFETY PROGRAMS
(Dollars in Thousands)

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions:			
Operations and Research (GF).....	23	23	...
O&R Trust Fund Share (HTF).......	77	84	+7
Grant Administration (HTF).......	80	80	...
Total.........................	180	187	+7
Dollars:			
Salaries and expenses			
Operations and Research (GF).....	$1,513	$1,598	+$85
O&R Trust Fund Share (HTF).......	6,126	7,154	+1,028
Grant Administration (HTF).......	3,651	3,753	+102
Subtotal......................	11,290	12,505	+1,215
Operating expenses			
Operations and Research (GF).....	340	403	+63
O&R Trust Fund Share (HTF).......	1,051	1,403	+352
Subtotal......................	1,391	1,806	+415
Contract program			
Operations and Research (GF).....	10,350	13,141	+2,791
O&R Trust Fund Share (HTF).......	11,112	15,596	+4,484
Subtotal......................	21,462	28,737	+7,275
Summary			
Operations and Research (GF).....	12,203	15,142	+2,939
O&R Trust Fund Share (HTF).......	18,289	24,153	+5,864
Grant Administration (HTF).......	3,651	3,753	+102
Total.........................	$34,143	$43,048	+$8,905

FUNCTIONAL STATEMENT

Funding is provided in this activity for headquarters and regional office staff with assigned responsibility to propose policy, develop programs, provide development of technical guidance and conduct evaluation for States in the execution of their own State highway programs and highway safety matching grant programs for which justifications appear under the Highway Traffic Safety Grants Program. Staff responsibilities include the development of model traffic safety programs aimed at the reduction of traffic crashes and resultant deaths, injuries and property damage. Principal emphasis is being placed on programs designed to reduce the incidence of drunk and drugged driving, and to increase the usage of safety belts and child safety restraints and acceptance of automatic restraint technology. Technical guidance assistance is also provided to the States in the development, implementation, and evaluation of their highway safety programs, and program reviews are performed which focus on the direction of financial resources and achievement of highway safety program objectives.

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Funding is also provided for contractual and supporting staff requirements for the development, demonstration, evaluation, documentation and dissemination of the best available knowledge and techniques regarding ways and means of dealing with the human factors that impact the highway safety system. The principal thrust of the Highway Safety Program (HSP) contract program is the implementation of new and improved systems, procedures, and techniques in a controlled environment, wherein the impact of the countermeasure can be documented and disseminated to all States and communities. The heavy involvement of youth in crashes is also addressed. The countermeasures being implemented and planned for implementation result from research, both in-house and contractual, and from operational successes at State and community levels. The countermeasures are designed to identify and improve the behavior of vehicle drivers and pedestrians which has proven to contribute to crashes.

The FY 1991 contract program will increase funding over FY 1990, in several major areas. First, increased emphasis is being focused on the Drug Evaluation and Classification (DEC) program, in order to assist police departments across the nation in detecting persons who operate vehicles under the influence of drugs. NHTSA plans to expand DEC into additional metropolitan areas in order to train police to detect drug-impaired drivers and to improve court system processing of drug offender cases. Funding increases will also permit the National Driver Register to bring additional States into interactive service that permits rapid exchange of problem driver information in order to strengthen State driver licensing systems. And finally, increased funds in FY 1991 will assist NHTSA in implementing the new Section 410 Drunk Driver Prevention incentive grants for States that qualify by enacting stiffer laws and initiating effective programs against drunk and drug-impaired drivers.

BREAKDOWN OF STAFFING RESOURCE REQUIREMENTS BY FUNDING SOURCE
OPERATIONS AND RESEARCH

HEADQUARTERS

Permanent Positions	Alcohol Countermeasures Program 1990	Alcohol Countermeasures Program 1991	National Occupant Protection Program 1990	National Occupant Protection Program 1991	Enforcement and Emergency Services 1990	Enforcement and Emergency Services 1991	National Driver Register Program 1990	National Driver Register Program 1991	Highway Traffic Safety Grants 1990	Highway Traffic Safety Grants 1991	Total 1990	Total 1991
Associate Administrator	2	2	2	2	1	1	1	1	1	1	7	7
Deputy Associate Administrator and Evaluation Staff	1	1	1	1	1	1	...	...	4	6	7	9
Office of Alcohol and State Programs	16	18	...	...	1	1	17	17	8	8	42	44
Office of Occupant Protection	...	...	11	11	...	...	...	...	6	6	17	17
Office of Enforcement and Emergency Services	1	1	1	1	13	16	...	...	4	4	19	22
Mission Support Functions	4	4	4	4	...	...	...	...	...	...	8	8
TOTAL ALLOCATION	24	26	19	19	16	19	18	18	23	25	100	107
Salaries and expenses	$1,833	$2,167	$1,451	$1,584	$1,222	$1,584	$1,375	$1,500	$1,049	$1,144	$6,930	$7,979

REGIONAL OFFICES

	Demonstration Countermeasures Program 1990	Demonstration Countermeasures Program 1991	Motor Vehicle and Consumer Information 1990	Motor Vehicle and Consumer Information 1991	Enforcement Programs 1990	Enforcement Programs 1991	Highway Traffic Safety Grants 1990	Highway Traffic Safety Grants 1991	Total 1990	Total 1991
Position Allocation	12	12	6	6	5	5	57	57	80	80
Salaries and expenses	$918	1,000	$458	$500	$382	$417	$2,602	$2,609	$4,360	$4,526

Breakdown of Resource Requirements By Funding Source

	FY 1990 Appropriation				FY 1991 Request			
		Highway				Highway		
	Federal	Trust Fund			Federal	Trust Fund		
	Funds	403	402	Total	Funds	403	402	Total
Position Allocation								
Headquarters	18	59	23	100	18	66	23	107
Regional Office	5	18	57	80	5	18	57	80
Total	23	77	80	180	23	84	80	187
Salaries and Expenses								
Headquarters	$1,184	$4,693	$1,049	$6,926	1,250	$5,621	$1,144	$8,015
Regional Offices	329	1,433	2,602	4,464	348	1,533	2,609	4,490
Total	$1,513	$6,126	$3,651	$11,390	$1,598	$7,154	$3,753	$12,505

JUSTIFICATION FOR PERMANENT POSITIONS

The following justifications describe the efforts undertaken by each organization within the Highway Safety Programs activity, supported by funding from the Operations and Research, and the Highway Traffic Safety Grants Appropriations.

OFFICE OF THE ASSOCIATE ADMINISTRATOR FOR TRAFFIC SAFETY PROGRAMS

The staff in this office administers traffic safety programs and provides national leadership and technical assistance to States and local communities in the achievement of highway safety programs designed to meet goals of reducing traffic crashes and fatalities, injuries, and resulting property damage.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions			
Federal Funds	...	...	...
Highway Trust Fund	7	7	...
Total	7	7	...

DEPUTY ASSOCIATE ADMINISTRATOR AND EVALUATION STAFF

This staff acts as the principal advisor to the Associate Administrator and directs the day-to-day administration and management of the highway safety programs. Provides overall evaluation assistance and guidance to headquarters program offices, regional offices, State and community highway safety offices and other project managers. Directs and conducts evaluation of highway safety programs and projects to measure effectiveness.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions			
Federal Funds	...	...	....
Highway Trust Fund	7	9	(+2)
Total	7	9	(+2)

Two positions are requested for Section 402 grant program coordination, in order to provide national policy guidance to NHTSA regional offices. NHTSA must also provide more support to link the results of Section 403 research and demonstration projects with programs funded with S.402 grants. These new positions will enable NHTSA to assure the timely exchange of information and ideas between the Regions and the States, and ensure that formal, periodic program management reviews of the regional offices are conducted.

OFFICE OF OCCUPANT PROTECTION

This office is responsible for planning, developing, publicizing, and implementing traffic safety programs directed toward reducing traffic crashes and related injuries and fatalities, through efforts designed to increase safety belt and child safety seat usage for all motor vehicle operators and passengers, to expand awareness and acceptance of automatic crash protection systems and to implement the FMVSS 208 program.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions			
Federal Funds	...	...	...
Highway Trust Fund	17	17	...
Total	17	17	...

OFFICE OF ALCOHOL AND STATE PROGRAMS

This office is responsible for planning, developing, publicizing, implementing traffic safety programs (1) directed toward reducing traffic crashes and fatalities, injuries, and property damage resulting from the improper use of alcohol and drugs, and (2) designed to improve administrative adjudication, traffic codes and laws, adjudication and court services, pupil transportation, motorcycle, and pedestrian safety. Maintains and operates the National Driver Register of motor vehicle operators whose licenses have been suspended, revoked, or withdrawn by the States.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions			
Federal Funds	18	18	...
Highway Trust Fund	24	26	(+2)
Total	42	44	(+2)

Two positions are requested for the expanded Drug Evaluation and Classification (DEC) program, which is NHTSA's major support to the Administration's overall drug program strategy. As a major new strategy against drug-impaired drivers, the effectiveness of DEC was demonstrated during extensive in-field testing by the Los Angeles Police Department. DEC has since begun to be implemented throughout the United States. The DEC program will continue to expand to train Drug Recognition Experts in additional metropolitan sites (with an operational goal of 50 sites by the end of FY 1991), develop computerized management information systems to assess evaluation data, and develop special instructional programs for prosecutors and judges; and to complete assessment of chemical test reliability and develop guidelines for testing and evidentiary procedures.

OFFICE OF ENFORCEMENT AND EMERGENCY SERVICES

This office is responsible for planning, developing, publicizing, and implementing traffic safety programs in the functional areas of police traffic services, selected traffic enforcement, trauma system development, emergency medical services, communications systems, crash investigation, traffic records, driver licensing, truck safety, motor vehicle registration, periodic motor vehicle inspection, and hazardous material transportation safety.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions			
Federal Funds	...	...	...
Highway Trust Fund	19	22	(+3)
Total	19	22	(+3)

Three additional positions are requested for Police Traffic Services in the area of alcohol and drugged driving enforcement. This added staff is needed to upgrade the Standardized Field Sobriety Test Training Program and then implement it into State and local police academy cirricula. Working with law enforcement agencies, NHTSA will identify and pilot test innovative DWI/drug enforcement strategies that have potential for success.

MISSION SUPPORT FUNCTIONS

Certain elements of the legal, planning and programming, and administrative staffs are deemed to play a key role in achieving various major program objectives. A distributive share of these selected positions has been reassigned from the General Administration activity. An accounting of positions included under the Office of the Administrator and Mission Support heading is provided under the General Administration budget activities.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions			
Federal Funds	...	...	...
Highway Trust Fund	8	8	...
Total	8	8	...

REGIONAL OFFICES

The National Highway Traffic Safety Administration has 10 regional offices which provide leadership, technical guidance and assistance to the States in the development and implementation of comprehensive highway safety programs geared to the reduction of crashes, deaths and injuries. While the major regional office involvement is in the area of the Highway Traffic Safety Grants Program, their responsibility for technical assistance also extends to demonstration and training programs. They also provide advice and assistance to the States and consumers relative to motor vehicle programs, enforcement, and consumer programs and assist headquarters in the interpretation of research program needs.

Individual regional office staff allocations vary from 6 to 13 personnel depending on geographic coverage and other factors. The regional offices, in addition to overseeing the administration of NHTSA's highway safety programs, are responsible for monitoring and evaluating State programs.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions			
Federal Funds	5	5	...
Highway Trust Fund	75	75	...
Total	80	80	...

HIGHWAY SAFETY PROGRAMS
RESOURCE SUMMARY
CONTRACT PROGRAM
(Dollars in Thousands)

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
ALCOHOL, DRUG AND STATE PROGRAMS	$3,122	$5,641	$8,383
General Population	1,850	1,491	2,600
Special Population	340	718	1,270
Alcohol & Drug Offenders	932	3,432	4,513
NATIONAL OCCUPANT PROTECTION PROGRAM	5,000	5,285	5,529
Automatic Crash Protection	1,000	1,400	2,000
Belt Law Compliance	1,422	1,325	1,600
Target Population Education	1,978	2,015	1,200
Evaluation and Technology Sharing	600	545	729
ENFORCEMENT AND EMERGENCY SERVICES	2,389	2,982	1,684
Police Traffic Services	725	1,751	791
Emergency Medical Services	1,579	844	653
Records and Motor Vehicle Licensing	85	387	240
NATIONAL DRIVER REGISTER	3,206	3,619	5,141
SECTION 410 ALCOHOL INCENTIVES	-	3,935	8,000
TOTALS:	$13,717	$21,462	$28,737

FISCAL
YEAR
1991

PROGRAM: HIGHWAY SAFETY PROGRAM
TITLE: ALCOHOL, DRUGS & STATE PROGRAMS

In cooperation with the Centers for Disease Control (CDC), NHTSA established a goal for the year 2000 of no more than 8.5 alcohol-related fatalities per 100,000 population. In order to reach this goal, the 1991 population fatality rate must be reduced to 9.33 and the mileage death rate must be reduced to no more than 1.1 deaths per 100 million miles traveled. At these reduced rates, approximately 23,325 alcohol-related fatalities will occur in 1991. This would be 300 fewer deaths than actually occurred in 1987 and 925 fewer fatalities than would occur in 1991, if the current fatality rates prevailed. In order to achieve these goals, even greater emphasis and resources will have to be devoted to the problem in 1991 in order to meet the goals set for the year 2000.

PROBLEMS AND GOALS:

Alcohol-related fatal crashes continue to be one of the nation's most serious public health problems. In 1987, 23,632 lives were lost due to motor vehicle crashes involving a drinking driver or pedestrian. This was more than the number of persons losing their lives because of homicides, suicides or any other single form of injury. In fact, because motor vehicle crashes kill more youth than most other forms of injury or disease, more than 1.4 million years of potential life were lost in 1987, due to such crashes. This was second only to the number of potential years of life lost due to cancer. From a cost standpoint, the annual cost due to alcohol-related crashes totals more than $12 billion.

The 23,632 alcohol-related fatalities that occurred in 1987 represented a rate of 9.7 deaths per 100,000 population and 1.24 deaths per 100 million vehicle miles traveled (VMT). By 1991, the U.S. population will have increased nearly 3 percent, from 243.4 million to approximately 250 million persons and the number of vehicle miles traveled will have increased nearly 10 percent, from 1.9 trillion miles to approximately 2.1 trillion miles. If no progress is made in lowering the existing fatality rates, the increases in population and mileage will result in between 600 and 2,400 additional alcohol-related motor vehicle fatalities in 1991 and an even greater number in subsequent years.

The primary objectives of the alcohol program are to (1) decrease the general public's tolerance of driving after drinking; (2) increase the public's perception of drunk driving as a public health issue; (3) increase the extent to which servers of alcoholic beverages act in a responsible manner; (4) decrease the extent to which alcoholic beverages are available to persons under the age of 21; (5) increase the deterrence of offenders and potential offenders by increasing the perceived risk of arrest and penalty for persons who drive with illegal alcohol (or other drug) concentrations; (6) take progressively stronger efforts to ensure that repeat offenders are prevented from driving during their periods of revocation; and (7) provide for effective intervention and/or alternative transportation for impaired persons who intend to drive.

BENEFITS:

Many of the benefits to be derived from the successful implementation of this program are outlined in the objectives listed above (e.g. increased server responsibility, public perception, deterrence of drunk driving and of driving while suspended, and alternative transportation, combined with decreased purchase and possession of alcohol by minors). However, the primary benefits would be significantly reduced frequency of driving while impaired by alcohol or other drugs and a reduction in both the mileage and population fatality rates associated with impaired driving. The economic benefits would be significant but would not approach the benefits in terms of personal suffering avoided.

ACCOMPLISHMENTS:

There was a significant increase in the public attention and programs directed toward the drunk driving crash problem in the 1980s. For example:

- The number of state laws enacted increased from 47 in 1982 to an average of more than 200 from 1985 through 1987;
- DWI arrests increased significantly since 1980, to a high of nearly 2 million in 1983;
- Media coverage increased significantly in the 1980s, peaking in 1983;
- Roadside surveys have indicated that the proportion of drivers on the road with illegal alcohol concentrations decreased by more than 50 percent since the mid-1970s;
- The alcohol-related proportion of fatalities decreased from 57 percent in 1982 to 51 percent in 1987, a reduction of 11 percent;
- The alcohol-related proportion of youth fatalities decreased from 63 percent in 1982 to 51 percent in 1987, a reduction of 19 percent.

Unfortunately, it appears that the interest of the public, state and local officials and the media has diminished in recent years and, as a result, there has been a slowing of progress since 1985. If additional progress is to be made, greater emphasis and resources must be directed toward this serious public health issue.

RESOURCE REQUIREMENTS: ($000)		
	FY 1989 Appropriation	$ 3,122
	FY 1990 Appropriation	$ 5,641
	FY 1991 Request	$ 8,383

Planned Under FY 1990 Budget and FY 1991 Request

The primary strategies to be used in achieving the above goals include: (a) outreach with activist, public health, medical, educational and other organizations to gain their help and support in reaching the above objectives; (b) enhanced training programs for police officers, prosecutors, judges, education personnel and alcohol servers; (c) expansion of drug evaluation and classification (DEC) to all major metropolitan areas; (d) expansion of the Techniques for Effective Alcohol Management (TEAM) program to the National Football League (NFL) and the National Hockey League (NHL); (e) development of a national public information program; (f) development and reproduction of educational materials for national organizations to aid them in their educational and advocacy efforts; and (g) evaluation and information dissemination.

In order to obtain maximum effectiveness, the overall strategy of the 1991 effort will be to more specifically direct the above actions at specific target groups. These target populations include: (1) the general population; (2) special populations such as youth, pedestrians, motorcyclists and commercial drivers; and (3) DWI offenders including first offenders, multiple offenders and offenders who have not yet been apprehended. The resource needs are distributed according to the efforts to be directed at these target populations. A description of proposed activities to be directed at each target group follows:

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
1. The General Population	$1,850	$1,491	$2,600

The primary challenge to preventing impaired driving is changing society's current acceptance of drinking and driving. Before alcohol-related crashes can be significantly reduced, a commitment to changing social attitudes is essential. The overall strategy will be to promote the problem of impaired driving as a major public health issue.

The following specific strategies will be employed: (a) social marketing techniques will be used to determine prevailing attitudes and receptivity to various messages; (b) intermediaries will be targeted to intervene in potential impaired driving situations; (c) using the TEAM program as a cornerstone the responsible alcohol service and use policies program will be expanded and promoted with public and private sports facilities; (d) corporate (worksite) programs will be established; (e) a national public information program will be developed; (f) medical, public health and citizen groups will be networked to gain their support for the objectives being pursued; (g) materials will be developed for use by participating organizations and the states to educate the general public and to provide pressure for necessary programs and legislation; and (h) state and local programs will be evaluated to determine their effectiveness in changing public attitudes.

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
2. Special Populations	$340	$718	$1,270

Special populations to be addressed include (1) youth, (2) pedestrians (3) motorcyclists and (4) commercial drivers.

Youth, under the age of 24, have the greatest over-involvement in alcohol-related crashes of any population subgroup. Passage of minimum drinking age laws in every state enables the implementation of particularly effective tools such as lower BACs for youth licensing laws, special enforcement procedures aimed at both sellers and purchasers of alcoholic beverages for youth, etc. The overall goal of the youth program is to make youth impaired driving socially intolerable. The general strategy for accomplishing this goal is the nationwide formation of community coalitions to develop action programs in the following nine areas: (a) school; (b) extracurricular; (c) community; (d) work; (e) enforcement; (f) licensing; (g) adjudication; (h) supervision; and (i) legislation. The program will involve an interagency effort with the Office of Juvenile Justice and Delinquency Prevention (OJJDP) in cooperation with the National Commission Against Drunk Driving (NCADD). It will also involve outreach efforts with a variety of organizations such as the National PTA, the National Association of Teen Institutes and the National Council of Juvenile and Family Court Judges. These outreach efforts, in turn, will include technical and training materials development and distribution and workshops with local affiliates.

Pedestrians represent approximately 1 of every 7 motor vehicle-related fatalities and alcohol is involved in more than 50 percent of such fatalities. The problem is particularly severe for elderly individuals, who have a population death rate (for pedestrian fatalities) double that for any other age group. Far too few resources have been devoted to this problem since 1980. As a result, there have been few gains in this area while other highway safety problems have been addressed. In order to reduce pedestrian fatalities, the following strategies will be emphasized: (1) law enforcement efforts for alcohol-impaired pedestrians will be promoted via enforcement organizations; (2) an outreach effort with other public and private agencies will be established; (3) the pedestrian safety problem will be integrated into existing community safety programs throughout the nation; (5) an incentive grant program will be initiated; (6) an international forum for pedestrian safety will be convened; and (7) technical materials will be developed and distributed to participating organizations and their affiliates for education and training purposes.

Motorcycle riders face an intolerably high risk of injury and death due to a combination of factors including excessive risk-taking, lack of conspicuity, lack of protection and use of alcohol. Once involved in a crash, a cyclist is estimated to be nearly 30 times more likely to die than an occupant of a passenger car. Only a miniscule amount of funding has been available to address this problem in the past. For 1991, the primary strategies will be to (1) encourage the enforcement of motorcycle helmet use laws through outreach with activist and safety organizations; (2) increase the enforcement of licensing laws to ensure that a greater proportion of motorcyclists are licensed and properly trained; (3) increase emphasis on alcohol education and enforcement efforts; and (4) education and training programs aimed at youthful motorcyclists just entering the licensed driving population.

Commercial drivers, like youthful drivers, represent a population where special and unique efforts can be made to reduce alcohol-related crashes. Because of the Commercial Motor Vehicle Safety Act (CMVSA) of 1986, new tools are available to deal with the impaired commercial vehicle driver. Lower illegal BAC levels, combined with stiffer penalties, will enhance the general deterrence potential of program efforts in this area. The primary strategy will be to make the states aware of the full ramifications of the Act and to provide them with information and program guidance in complying with the Act. This will require training programs for enforcement and inspection personnel to enable them to recognize impairment at the lower BAC levels. In addition, outreach efforts with truck and bus associations, as well as with enforcement and licensing groups will be initiated.

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
3. Alcohol & Drug Offenders	$932	$3,432	$4,513

The DWI offender is the primary target of the 1991 program. Here the facts are clear. Fewer than 20 percent of the drinking drivers on the highway account for 80 percent of the alcohol-related fatal crashes. These drivers are frequently on the road at high alcohol concentrations and only about 1 in 1000 is apprehended on any given weekend night. Consequently, 75 percent of all alcohol-related fatal crashes involve a drinking driver, at a high alcohol concentration, who has never been previously arrested. In order to impact the drunk driving problem, we must not only reduce the recidivism of those drivers who are caught, we must also sanction such drivers in a manner such that offenders who are not caught are deterred from driving while impaired in the future.

The primary strategy is general deterrence. The number of offenders who are caught, the penalties they receive and the extent to which other offenders are aware of these factors provide proven means by which alcohol-related fatalities can be reduced in the future. Elements within this strategy will include:

(1) Expanding the drug evaluation classification (DEC) program to include:

- (a) continue expansion into a total of 50 metropolitan areas by the end of FY 1991;
- (b) developing a management information system to collect DEC program data;
- (c) developing and funding prosecutor and judicial training and resource reference materials; and
- (d) conducting an assessment of chemical test reliability and developing guidelines for testing and evidentiary procedures.

(2) Outreach with activist and enforcement groups to provide statewide training and education programs which will result in an increase high visibility in enforcement efforts.

(3) Working with activist, prosecution, judicial and licensing organizations to provide statewide training and education programs which will result in an increase in the proportion of persons arrested who receive "hard" license suspensions.

(4) Promoting the use of license plate confiscation and (for more serious, chronic offenders) vehicle impoundment and confinement to ensure that repeat offenders do not continue to drive after revocation.

(5) Promoting the use of mandatory minimum fines as a source of funding for the driver control efforts included above, and

(6) Evaluating the effectiveness of innovative enforcement and sanctioning strategies in the states. Many of the above activities will include the development and distribution of training materials specific to the participating organizations and the use of educational workshops for these organizations and their local affiliates.

In addition to the above activities to be conducted within the Office of Alcohol and State Programs, there are several alcohol and drug-related enforcement activities which will be conducted by the Office of Enforcement and Emergency Medical Services. These include (1) integration of SFST into state and local police academies; (2) pilot testing innovative DWI/Drug enforcement projects; and (3) providing technical assistance to local police departments.

FISCAL
YEAR
1991

PROGRAM: HIGHWAY SAFETY PROGRAM
TITLE: NATIONAL OCCUPANT PROTECTION PROGRAM

MAJOR PROGRAM OBJECTIVE:

The President's near-term objective for the program is to increase the proportion of motorists wearing safety belts to 70 percent by 1992.

The long range program objective is to increase correct use of motor vehicle occupant protection systems and thereby move toward the national health objective of reducing the motor vehicle death rate to at least 1.9 per 100 million VMT by the Year 2000. The supporting objectives for improved occupant protection are that by the Year 2000: 1) at least 85 percent of motor vehicle occupants will use available occupant protection systems, up from the current 46 percent; 2) at least 95 percent of passengers under 5 years of age will use child safety seats, up from the current 81 percent; and 3) all 50 states will have safety belt use laws in effect, up from the current 33 States plus the District of Columbia (as of the end of calendar 1989).

PROBLEMS AND GOALS:

In FY 1991, the program will continue to emphasize the winning combination--correct use of automatic crash protection and compliance with State belt and child safety seat use laws. The laws provide the incentive for use, and the new automatic systems provide the convenience.

To achieve the goals set for the program, two things will need to happen. The proportion of motorists correctly using automatic crash protection systems must remain high, (automatic belt use averaged 87 percent in 1988), and a greater proportion of motorists in manually equipped cars will need to buckle up, especially since automatic equipped cars will not constitute a majority of the fleet until 1995.

Thus, even though all new cars will come with automatic crash protection, State laws will still be necessary to provide an incentive for belt use in older cars and other vehicles, and manual belt use is necessary to achieve full benefits from airbag protection. At the end of 1989, 33 states and D.C. had belt use laws on the books. These laws cover about 86 percent of the U.S. population. Getting the remaining seventeen states to pass belt laws is a major goal. Although the remaining states are expected to consider enacting belt use laws, the personal freedom issue will fuel debate on these proposals and continue to threaten existing belt laws through calls for public referenda.

Clear cut evidence of the effectiveness of existing laws is the best defense against belt law opponents, but use rates must be higher than they are now. By the end of 1989, eighteen states with belt use laws reported they had achieved adult belt use rates of 50 percent or higher. If use rates continue to climb, at least 20 states should be reporting use rates of 50 percent or higher with at least five of the states reporting 70 percent or higher by the end of 1991.

All fifty states and D.C. have child passenger safety laws and fourteen states have laws covering older children or teens. But program resources will still be needed to promote correct child safety seat use. Correct installation and use varies by safety seat brand and car model. The complexity of use coupled with staff and volunteer turnover throughout the country will require constant attention to keep use rates high and injury losses down.

NHTSA helps the states to meet their use rate goals by providing leadership and resources to increase: (1) public understanding of automatic crash protection systems, with emphasis on how they work in combination with safety belts and child safety seats; (2) compliance with belt laws and child passenger safety laws, (3) use of occupant protection systems by high risk/low use groups, and (4) sharing of local, state and national program results.

BENEFITS:

Research studies have shown that, if they are used, lap and shoulder safety belts can reduce the risk of fatal or serious injury by between 40 and 50 percent. Child safety seats are about 71 percent effective in preventing fatalities.

Since 1980, safety belt use has quadrupled (from 11 percent to 46 percent according to observational surveys of belt use performed in 19 cities around the nation). The same surveys reveal that child safety seat use has risen to 81 percent.

The passage and the enforcement of safety belt use and child passenger safety laws has been largely responsible for much of the increased usage. Currently, safety belt use in States with belt use laws averages about 51 percent, and in States without a belt use law, about 36 percent.

In 1988, safety belts saved the lives of 4,573 front seat occupants of passenger vehicles. During the period from 1983 through 1988, a total of 15,511 lives were saved by safety belts. Of these, 10,535 lives were saved because of the increased amount of belt use brought about by safety belt use laws.

Safety belts prevented an estimated 48,000 moderate to critical injuries to front seat occupants in 1987, 37,000 in States with belt use laws. At the high use levels achieved in some other countries (85 percent), belts could have saved 10,000 lives in 1987. If all front seat occupants had worn safety belts, about 15,000 lives could have been saved in 1987.

Among children under five, child safety seats saved 213 lives in 1987 and 248 lives in 1988. They also prevented about 28,000 injuries in 1987. With 100 percent correct use child safety seats could prevent about 500 fatalities and 53,000 injuries.

ACCOMPLISHMENTS:

- At the end of 1989, 33 States and the District of Columbia had safety belt use laws on the books. All 50 States had child passenger safety laws, as compared with 1979 when only Tennessee had such a law. There is also a legislative trend to extend the ages covered by State child passenger protection laws to require belt use by children and teens up to 12 or 16 years of age. A total of 23 state laws now cover children beyond their sixth birthday.

- Starting in 1988, NHTSA initiated a grant program with belt law States to encourage demonstrations of promising belt and child passenger safety law implementation strategies. Eleven grants were awarded in 1988, and 17 more were provided in 1989.
- NHTSA sponsored a 1989 Federal Recognition Program which included sending sample information to 84 Federal departments and agencies on implementing and operating occupant protection programs, and co-sponsoring with the Occupational Safety and Health Administration, a program to recognize Federal employees and their families who escaped serious injury because they buckled up.
- NHTSA conducted workshops to convince police officers to buckle up for their own safety, and to actively enforce the belt use and child passenger safety laws in their communities. NHTSA produced a manual for community leaders explaining how they and the police department can work together on combined education and enforcement projects that will help to increase belt use in the community.
- NHTSA continued its support of national organizations such as the American Academy of Pediatrics, the National League of Cities, the U.S Conference of Mayors, labor groups and others in their educational outreach programs through their memberships and to the public at large.
- NHTSA produced and distributed educational materials explaining correct use of automatic crash protection systems, manual safety belts and child safety seats, and urging motorist acceptance and use of these life-saving systems.
- NHTSA continued to sponsor special emphasis weeks such as National Child Passenger Safety Awareness Week, and Buckle Up America!, to focus attention on importance of using child safety seats and safety belts on every trip.

RESOURCE REQUIREMENTS: ($000)		
	FY 1989 Appropriation	$5,000
	FY 1990 Appropriation	$5,285
	FY 1991 Request	$5,529

PLANNED UNDER FY 1990 BUDGET AND FY 1991 REQUEST

A nationwide survey of consumer views about air bags and safety belts revealed widespread myths and misconceptions about air bags and their effectiveness, e.g., 71 percent were concerned that they might not inflate when needed, and 67 percent worried that they might create a driving hazard by inflating when they were not needed.

The FY 1991 budget proposes to place greater emphasis on automatic crash protection education, including air bags and automatic safety belts, while maintaining the agency's commitment to increasing manual belt use through combined education and enforcement at the state and local community levels and through educational projects aimed at converting low use groups into regular users.

1. Automatic Crash Protection Education

FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
$1,000	$1,400	$2,000

The national public awareness campaign featuring the new technology and how it works with safety belts and child safety seats to enhance protection will be strengthened. "Vince and Larry" have become national media symbols and have already appeared in one TV spot on the need to use safety belts in air bag equipped cars. The FY 1991 campaign will build on new TV and radio spots that will be produced during FY 1990. The campaign will stress that: 1) air bags offer supplemental protection; therefore, safety belts still need to be worn in airbag vehicles, 2) most automatic belt systems include a manual lap belt that should be worn, and 3) automatic belts should be left attached to encourage their regular use.

Grant assistance will be provided to states demonstrating a capability to conduct broad-based, intensive outreach programs to instruct motorists about the availability and benefits of automatic systems and their correct use, utilizing creative educational and enforcement strategies such as those targeted at high risk/low use populations. These programs will promote public understanding of how to get the most out of automatic crash protection by publicizing the importance of leaving automatic belts attached, and wearing the manual belts that are part of most automatic systems.

A priority in FY 1991 will be communications strategy development and technical assistance to support additional states as they implement state-based automatics educational programs. Initial educational strategies and prototype materials developed in FY 1990 will be refined and production of the first-phase materials will be completed.

Insurance companies and car dealers have an opportunity to incorporate automatics education into their contacts with consumers. A demonstration project will be completed in FY 1990 that is designed to inform dealer showroom customers about how automatics work in combination with belts and child safety seats. During FY 1991, results of this auto dealer project and others involving insurance companies will be publicized for consideration by other states and companies.

2. Belt Law Compliance

FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
$1,422	$1,325	$1,600

The first step in getting local police commitment is for community leaders, including elected officials, to be convinced of the need to train their police officers to use belts and enforce the law. NHTSA creates an environment for this to happen by providing a short orientation program for local leaders, police management seminars and occupant protection information that can be integrated into law enforcement training. Support for this will be continued and expanded. As a follow-up to the National Traffic Law Enforcement Summit scheduled for Spring 1990, a national teleconference will be held with those who attended the occupant protection sessions to hear about progress or impediments to winning community support for stricter belt law enforcement, and to solicit ideas and share information on strategies for increasing motorist compliance.

Grants will be awarded to states (either to State Associations of Chiefs of Police or to State Highway Safety Offices) demonstrating an interest and capability to assist local police departments with publicity that is specifically designed to support their belt law enforcement activities. Over eighty local jurisdictions have conducted "Elmira" programs utilizing waves of publicity and enforcement. However, a barrier for many local departments continues to be a shortage of resources necessary to develop and sustain a high quality publicity component that wins community support for belt law enforcement by explaining why it is needed.

Grant assistance will be made available to those of the 17 non-law states that enact belt use laws and/or to a state that significantly extends the age of its child passenger safety law in order to assist them with implementing the new provisions.

The mass media activities featuring the Vince and Larry crash dummies will be continued in FY 1991 to highlight the benefits of belt use. The campaign provides unifying national themes on the importance of forming the safety belt use habit. Many states and communities use the Vince and Larry characters in their educational literature and special events. These activities will complement the mass media initiatives undertaken to increase public awareness of automatic crash protection systems.

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
3. Target Population Education	$1,978	$2,015	$1,200

By FY 1991, 6-9 cooperative agreements will have been funded with national organizations and universities that can reach high risk/low use populations such as low income and rural residents with educational messages about the importance of safety belt use, particularly with the new automatic crash protection systems. Results from these efforts will be publicized to encourage adoption of similar delivery mechanisms in other locales. Additional agreements will be funded to reach high risk groups as use rates and crash risk data show are necessary.

During FY 1991, support will be provided to members of the medical and public health communities to assist them in conveying the importance of correct child safety seat use, particularly in combination with automatic safety belts and air bags. A new wave of education and training will be provided for hospital and public health educators to encourage them to include child passenger safety in their classes for new parents. Basic education will be provided to hospital volunteers who assist new parents in leaving hospitals with newborns.

Assuming successful results are obtained during FY 1989-1990, the Youth Technical Assistance Program, which is jointly funded by the occupant protection and alcohol program offices, will be expanded in FY 1991. Its purpose is to demonstrate the effectiveness of systemwide strategies (i.e., those involving all key elements of a community that can affect safety behavior such as law enforcement, civic and business leaders, judges, etc.) for increasing safety belt use among young people, age 15-24, and reducing their involvement in alcohol related crashes.

Another joint project involving the occupant protection and alcohol program offices will help major employers establish programs to increase belt use and decrease impaired driving incidents by employees and family members. A Leadership Council (CEOs, public officials, media representatives, the military) will encourage employers to implement workplace policies on belt use and fleet management practices which reduce workers' injuries in crashes. At the State level, about 15 roundtable discussions will be held, hosted by Governors and other state leaders to reinforce existing employer programs and expand others. Regionwide technical assistance projects will be established with selected communities to enlist at least 80% of their major employers to test the effects of multiple worksite programs in one geographic area.

4. Evaluation and Technology Sharing	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
	$600	$545	$729

The information management, materials distribution and logistics services will be continued in FY 1991. All requests for materials (e.g., audio-visuals, manuals, workbooks, idea samplers, brochures, posters, etc.) used to support the educational and technology sharing objectives of the program are processed and filled through this service. Through this service materials are provided in the quantities requested, or samples of materials and reproducible negatives are loaned to Regional Offices, State Highway Safety Offices, local communities, employer programs, and to the general public. In FY 1990, a cost recovery plan will be pilot tested for large volume requests.

In FY 1991, additional emphasis will be placed on conducting evaluations of innovative Section 402-funded occupant protection education programs and law enforcement programs managed out of the State Highway Safety Offices. This is important for promoting more widespread adoption of the most effective project strategies.

During the last four years, NHTSA has placed a high priority on reaching law enforcement agencies with occupant protection training. A major goal of this effort has been to motivate police officers to wear safety belts regularly, thereby demonstrating the kind of personal commitment that research has shown is essential to effective belt law enforcement. During FY 1991, the agency will continue to monitor the amount and quality of belt law enforcement training occurring across the country and institute improvements based on these assessments.

Each year meetings are held with community program planners, NHTSA regional program specialists, and with various groups of opinion leaders (e.g., medical and health professionals) to plan new program strategies and to share success stories. Planning and logistics support for these meetings and development of technical support materials such as program update notebooks and videotapes will be needed.

FISCAL
YEAR PROGRAM: HIGHWAY SAFETY PROGRAM
1991 TITLE: OFFICE OF ENFORCEMENT AND EMERGENCY SERVICES

MAJOR PROGRAM OBJECTIVES:

The major objectives of the OEES program are: (1) to provide law enforcement, emergency medical services, driver licensing, traffic records and motor vehicle administrators with the latest technology and strategies for solving and identifying highway safety problems in their areas of responsibility; (2) to act as a catalyst to bring these agencies into action to increase, sustain and maintain a high level of public and private support for: increased enforcement, enhancement of trauma care, improvements in driver licensing countermeasures involving the youthful and elderly drivers and improving the traffic records system; (3) to develop, demonstrate and evaluate effectiveness of countermeasures in police traffic services, emergency medical services and motor vehicle licensing and traffic records; and (4) to provide technical assistance in these areas and thereby move toward the national health objective death rate of not more than 1.9 per 100 million VMT by the year 2000.

PROBLEMS AND GOALS

Police resources are dwindling in relation to registered vehicles, vehicle miles travelled, licensed drivers, and population. State police agencies have had a small growth during the last 10 years while municipal agency strength has remained constant. Moreover, the proportion of resources for traffic enforcement has been dropping. Most local agencies or sheriffs' traffic functions are critically understaffed. Many departments lack a dedicated traffic enforcement unit. Police are in direct competition for resources with other domestic issues. There is an increasing public demand that more resources be applied to reducing crime, particularly drug offenses. Traffic enforcement itself is in direct competition with criminal enforcement, particularly drugs and related violent crimes. It is necessary to gain additional priority and resources for traffic enforcement but the focus will be on impacting drug and other serious criminal activity as well as motor vehicle crashes.

The major Police Traffic Services goals are: to provide direct technical assistance to law enforcement agencies, communities and national groups and associations in special speed enforcement efforts; to provide law enforcement agencies with effective operational enforcement programs that will increase traffic enforcement and that will reduce both motor vehicle crashes and criminal activity, drug use and other serious violations; to raise the public's perception of risk due to highway crashes; to provide agencies with advanced technology to increase their effectiveness and efficiency; and to develop operational and training programs to support traffic enforcement efforts that better utilize available enforcement resources.

Political and socioeconomic issues continue to present barriers to the development of trauma systems of care in both urban and rural areas of the country. The need for effective emergency services to care for highway injuries continues to be greater in rural areas where the likelihood of dying from a crash is twice as high as it is in the largest cities. Problems with transportation, communications, distances, access, and availability of trained prehospital personnel contribute to the suboptimal care available to the injured patient in rural America. Improvements in trauma care will only come about when systems of care are statutorily based at the State level.

The Emergency Medical Services goals are: to improve the availability and use of 911 so that 90% of the motor vehicle injuries receive a prehospital response within 10 minutes in urban areas and 20 minutes in non-urban areas; to increase public effectiveness in dealing with highway injuries until prehospital care arrives; and to assist States in developing and implementing trauma system plans so as to reduce to five percent (the year 2,000 goal), the national preventable highway injury mortality rate.

Great strides are being realized in the design and use of sophisticated computerized record systems, not only at the centralized traffic records agency, but in field operational units, as well. This is especially evident throughout the various State and local law enforcement agencies. Managers at all levels are realizing the need not only in the identification of problems and evaluation of program efforts, but in the day-to-day operations of ongoing highway safety programs. Increasing concern is being given the older and younger driver problem, with driver licensing recognized as a key component in dealing with the problem.

The Records and Motor Vehicle Licensing goals are: to provide technical assistance to States in the implementation of provisional/graduated licensing systems, driver screening and improvement techniques for youthful and older drivers and operators of commercial vehicles; to improve the enforcement of driver licensing laws, particularly as they relate to control of unlicensed or suspended/revoked drivers; to assess current status of State licensing and traffic records systems and provide technical assistance to the States, and local communities in developing and implementing systems capable of inputting data in a timely manner, and providing for the timely use of such data by highway safety program managers; and, to provide training for highway safety program managers at the State and local levels in the efficient use of highway safety data.

BENEFITS:

Traffic enforcement is an essential part of all highway safety programs, and it must be a key element of future efforts if we are to continue to make progress in reducing crashes, fatalities and injuries. To gain public support and to be a priority function in law enforcement, traffic enforcement must respond effectively to the increase demands for police services. Increased traffic enforcement can have a direct impact on criminal activity, in the detection and arrest of drug couriers, in the recovery of stolen cars, and the arrest of drivers with suspended licenses, as well as improving highway safety particularly by arresting drunk drivers and ticketing the excessive speeder.

The implementation of community-based education programs, in conjunction with enforcement will assist law enforcement agencies in obtaining greater compliance with speed limits and will educate drivers on the risks of speeding and violating other traffic laws. New technology, including the use of laser speed measurement devices and automated photo radar and computers, will help make the most efficient use of the limited number of available traffic enforcement officers. Training programs and technical assistance to law enforcement is the principal means for marketing new concepts and strategies.

The quality of prehospital and hospital services is highly correlated with injury outcome. One State, having a highly trained cadre of prehospital providers, reports a dead on arrival rate for injured patients which is less than half of the national average, i.e., 5.6% versus 14.5%. Where high quality prehospital services are integrated with designated trauma centers into systems of trauma care, preventable mortality from injury is reduced 20-30%, overall mortality is reduced by 10%, length of hospital stay decreases by as much as 20%, and 98% of the seriously injured patients are returned to normal productive lives without residual disability.

Due to increased implementation of major components of NHTSA's "model" provisional/graduated licensing system by the States, the incidence of traffic crashes involving novice drivers will be reduced. Technical assistance in the development and offering of training courses on the development of and use of traffic records and rapid communications systems, as well as technology sharing workshops, will contribute to improvement in data and data systems. States will be better able to identify impaired drivers and how to deal with youthful and older drivers who may be over involved in traffic crashes.

ACCOMPLISHMENTS:

- In cooperation with the Michigan Law Enforcement Training Council, work on the revision of the NHTSA model radar training course was completed. The updated curriculum has been published and has been distributed. A new course for law enforcement driver training was developed in cooperation with the International Association of Directors of Law Enforcement Standards and Training and has been distributed to law enforcement and training agencies. The curriculum includes sections on emergency and non-emergency driving, instructor qualifications, facilities design, glossary of terms, reference materials directory and methods of course evaluation.

- NHTSA, working with the International Association of Chiefs of Police and law enforcement representatives from the existing Drug Evaluation and Classification Program sites, developed recommended minimum certification standards for training and operation of the program.

- A guide for community groups to use to help support law enforcement in the enforcement of occupant protection laws was completed. This guide provides direction for working with law enforcement agencies, and explains how effective community support can help increase the enforcement of safety belt and child safety seat laws.

- Traffic Enforcement workshops were conducted for law enforcement officials to review traffic and speed enforcement activities, to examine innovative practices, and to formulate improved plans for strengthening their enforcement programs. The locations involved were: Utah; North Dakota; Delaware; Washington, DC; Maryland; Pennsylvania; Virginia; West Virginia; New York; New Jersey; Puerto Rico and Virgin Islands.

NHTSA initiated a multi-year national media and police enforcement campaign designed to increase compliance with all posted speeds. The television and radio public service announcements for the first of four phases were produced and were made available to law enforcement agencies willing to implement a complete speed media and enforcement campaign.

Development of statewide systems of trauma care have been slow. Currently, only four States have enabling legislation and implemented systems, and one State has established a system without some critical parts of legislation necessary to continue the system. NHTSA has established a comprehensive approach to trauma system development which has included: identification of key factors to establish and sustain trauma systems, development of a legislative guide, national conferences, and community training.

NHTSA has developed training courses which serve as standardized curricula for State training programs. In addition, to revising the basic curriculum for EMT-Basic, EMT-Intermediate, and EMT-Paramedic; NHTSA has developed refresher curricula for each of these levels and the First Responder. In addition, NHTSA recently developed a new supplemental curriculum for prehospital providers who provide care in an airborne environment. NHTSA is also conducting a demonstration project on the use of laser disk interactive computer training.

- NHTSA has implemented an immensely successful and popular technical assistance program which assesses State EMS programs relative to highway safety needs. Eight States were evaluated by the end of 1989. One State has redesigned its State training and certification programs as a result of the assessment. The assessment in a second State has led to legislation providing a reliable, annual revenue source of $3.5 million for EMS development.

- A classification scheme for motor vehicles and revised "AAMVA Violation's Exchange Code" were developed and used as the basis for the Commercial Driver Licensing Standard. The classification scheme is also being used in the development of a revised "model" State classified driver licensing system.

- The following AAMVA/NHTSA Motor Vehicle Administrator Guideline series publications were completed: Nonresident Violator's Compact (NRVC) By-Laws and Operations Manual; An Improved Driver Entry System for Young Novice Drivers; Driver License Compact (DLC) Operations Manual; Driver License Application Identification and Licensing System Security; and State and Provincial Licensing Systems - Comparative Data. Promotional activities resulted in the increase in membership and participation by the Sates and provinces in the DLC, NRVC, Driver License Examiner Certification Program and adoption and implementation of provisional/graduated driver licensing and Administrative Per Se Laws.

RESOURCE REQUIREMENTS: ($000)		
	FY 1989 Appropriation	$ 2,389
	FY 1990 Appropriation	$ 2,982
	FY 1991 Request	$ 1,684

The FY 1991 budget emphasizes development, demonstration and evaluation of new strategies, technical assistance and transfer of technology and information to enhance traffic enforcement, emergency medical services, and motor vehicle licensing programs. Police Traffic Services programming will stress advancements in speed enforcement along with more effective enforcement strategies through advancing technology and efficient use of resources. A special effort will be made to enhance traffic enforcement resources by demonstrating the synergism between traffic enforcement and crime control. The Emergency Medical Services program will focus on strategies for improving the components of trauma systems, particularly rural trauma including personnel, training, transportation, communication, education, system management and quality assurance and evaluation. The Records and Motor Vehicle Licensing program will focus on assisting the States in improving traffic records and driver licensing systems. Particular emphasis will be given to advancing the technology of "clipboard" computers and assistance in implementation of provisional licensing program. Decrease in funding efforts for FY 1991 is due primarily to earmarking of funds in FY 1990 for speed enforcement demonstration projects, Dade County trauma system support and community traffic safety demonstration project.

Planned under FY 1990 Budget and FY 1991 Request.

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
1. Police Traffic Services	$725	$1,751	$791

Since most traffic safety programs depend on a traffic enforcement component, a comprehensive effort will be taken to find ways to assist law enforcement agencies to get the most out of limited resources. Rather than merely calling for more resources for traditional single focus traffic enforcement we plan to "change the game" by expanding the scope of traffic enforcement; expanding the number of players; transferring innovative technology that increases productivity; marketing new concepts and strategies; and demonstrate that increased resources for traffic enforcement will have a significant payoff in reducing crashes and crime.

The major strategies will be: (a) to demonstrate the effectiveness that traffic enforcement can have on reducing criminal activity while impacting highway safety problems; (b) to demonstrate and evaluate the effectiveness of combined enforcement supported by public information campaigns; (c) to work with State, county and municipal law enforcement associations and organizations to promote traffic enforcement; (d) to increase speed enforcement and to increase public understanding of the dangers of speed, utilizing public information campaigns; (e) to support the police radar testing program to ensure the quality of equipment being produced and to assess new speed measuring devices being introduced to the enforcement market; (f) to provide State, municipal and county law enforcement with specific operational and technical assistance; and (g) to provide training material to help reduce crashes involving heavy commercial vehicles.

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
2. Emergency Medical Services	$1,579	$844	$653

In 1991, the program strategies include statewide technical assessments, and technology development and transfer. Limited technical assistance will be provided with primary responsibility for planning and implementing remaining with the States. Special emphasis will be placed on addressing those problems which are unique to rural trauma care delivery because of the disproportionate number of vehicular deaths and injuries occurring on rural highways.

A revision of the EMT-Paramedic curriculum will be undertaken, to update practices and procedures for the paramedic, particularly as they relate to trauma. The last EMT-Paramedic Training Curriculum was published in 1985. Because of significant advances in trauma care the curriculum needs a complete revision.

A similar grant program will be initiated to assist States in implementing Sensitivity Index Evaluations (SIE). The SIE's will permit States to assess the impact of changes implemented as a result of the planning grants.

Technical assistance efforts will be expanded to provide States with assistance in codifying standards, developed through the ASTM voluntary standards setting process into State statutes or regulations. By FY 1991, we estimate that 44 standards will be developed through the ASTM process. The voluntary standards must then be codified by States into statutes and legislation.

In addition, EMS communication problems will be prioritized by State EMS officials, and solutions to these problems will be identified and initiated. Demonstration projects will be undertaken to improve citizen access to EMS, and a project to support the development of a National EMS Information Resource Directory will be undertaken.

Rural preventable mortality studies will be completed, and based upon the findings of these studies, one or two demonstration projects will be undertaken to solve identified problems in rural EMS delivery.

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
3. Records and Motor Vehicle Licensing	$85	$387	$240

In the traffic records area, we will develop and offer training courses on use of data.

In driver licensing, we will support the Multi-Year Driver Licensing Plan. This includes activities in provisional licensing, promotion of a "model" classified licensing system, promotion of the D-20 data dictionary relating to data uniformity, adoption of a "model" driver licensing application system to combat the false ID problems, and promotion of a more effective driver screening and assistance program for the youthful and older driver. We will actively promote the implementation of provisional driver licensing programs for young drivers, as well as licensing programs addressing the older driver.

Based on assessments of techniques used by various law enforcement agencies and through our demonstration projects, we will assist in the implementation of programs dealing with the suspended and revoked driver.

Relative to computer technology, a project will be undertaken to demonstrate and evaluate the use of a compact "clipboard" type personal computer, for use by enforcement and public safety agencies. Evaluation will include the effect of the use of these computers on efficiency of the reporting, both in terms of time as well as accuracy, and ease with which data can be stored, transmitted and retrieved.

Through assessments of ongoing use of technology and procedures at the State and local level, we will provide technical assistance in the development and use of traffic records systems at both the State and local levels. This will include the use of the "clipboard" computer, as well as innovative records systems in use by various States and communities.

FISCAL
YEAR
1991

PROGRAM: HIGHWAY SAFETY PROGRAM
TITLE: NATIONAL DRIVER REGISTER

MAJOR PROGRAM OBJECTIVES:

The goal of the National Driver Register (NDR) is to establish a modern, electronic system capable of supporting State driver licensing agency needs for rapid detection of problem drivers as well as provide information for consideration in the employment of operators of other transportation conveyances.

The long-term objective is the implementation of a new NDR system called the Problem Driver Pointer System (PDPS) in compliance with the NDR Act of 1982 and in conformance to the recommendation in the recent report to Congress to expand the PDPS to all States. The near-term objective is to assist States in establishing NDR inquiry capability as part of their Commercial Driver License (CDL) issuance process.

PROBLEMS AND GOALS:

For much of its history since 1960, the National Driver Register has relied on the U.S. Mail to exchange data between the National Driver Register and State driver licensing officials. Consequently, identification of a suspended/revoked driver would take 10 or more days. The States, for the most part, had progressed technologically to the point that a license was issued "over the counter" while the applicant was present. Thus, information from the National Driver Register was received after the fact. The goal of the National Driver Register, since the passage of the 1982 NDR Act, has been to provide rapid responses to State inquiries commensurate with their need for timely and accurate information on which to base licensing decisions. Progress towards this goal has been substantial, with nine States now receiving instant replies and 33 States getting next day answers.

Additionally, the NDR will deal with the problems that will come with expanded use. As the NDR is opened up to a broader user community, e.g., rail, airline and motor carrier industries, it will need to be increasingly more alert to safeguard individual privacy rights.

BENEFITS:

The principal benefits will be the rapid receipt of information by State officials for immediate licensing decisions and by employers in various transportation industries to screen out unqualified operators. Operations of the NDR will also be more efficient without the encumbrance of maintaining the detailed adverse action data on the NDR master file, which will be retained by the "States of record." This will result in more accurate and current data being provided to the States of inquiry and other users. For those States issuing over-the-counter licenses, costly license-recovery procedures resulting from late-arriving NDR information will also be avoided.

ACCOMPLISHMENTS:

The major accomplishment has been the overall improvement in service provided to State driver licensing departments. Concurrent with implementing the new Problem Driver Pointer System (PDPS) developed and tested as a result of the 1982 NDR Act, other improvements have been made to provide for faster service from the current NDR. The interactive (instant response) capability component of the PDPS is in use by 5 non-PDPS States, thus, 9 States are now able to get answers back in their branch licensing offices within seconds from when the inquiry was sent. The Remote Job Entry (RJE) system which has an overnight response capability has been implemented in thirty-three States, thus eliminating the 2-week mail delay previously experienced.

Other accomplishments include:

- Completion of the PDPS pilot program and submission of a report to Congress
- Continued progress by States in replacing their "old" records in the NDR with their most current records of suspensions
- Elimination of "paper" input by several States saving considerable clerical handling and processing time
- Successful testing of the American Association of Motor Vehicle Administrators Telecommunication Network (AAMVAnet), which demonstrated the feasibility of use of AAMVAnet for State communications with NDR as well as the Commercial Driver License Information System (CDLIS). This will reduce Federal costs as well as avoid the effort involved in establishing separate communications arrangements for each State
- Successful implementation of the CDLIS design which involves simultaneous inquiry of both the NDR and the CDLIS. The State of California, first to implement the requirements of the Commercial Motor Vehicle Safety Act of 1986, routinely queries the NDR and the CDLIS as part of the commercial driver license issuance activity.

RESOURCE REQUIREMENTS ($000)		
	FY 1989 Appropriation	$3,206
	FY 1990 Appropriation	$3,619
	FY 1991 Request	$5,141

PLANNED UNDER FY 1990 APPROPRIATION AND FY 1991 REQUEST

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
National Driver Register	$3,206	$3,619	$5,141

By the end of FY 1991, 15 States are expected to be participating in the PDPS, and all 51 licensing jurisdiction will have implemented the CDL requirements. Assuming that all States will utilize the interactive capability to process first-time non-minimum age applicants for all classes of licenses (commercial and private), interactive searches could increase from 88,000 to 556,000 per month in FY 1991. Additionally, several thousand record searches per month are anticipated related to operators of other transportation modes (air, rail, etc.), most of which will require individual handling as they will be submitted by mail from the employee/applicant.

During FY 1991 the major thrust of the program will be (1) providing direct assistance to 6 States in converting to PDPS, and (2) providing direct assistance to 10 States, in establishing interactive connections to NDR as part of their CDL implementation. Funding will be distributed as follows (in $000's):

Computer Operations (interactive):	
PDPS States (15)	$1,300
CDL States (36)	2,000
Computer Operations (batch)	1,200
Telecommunication Support	10
Technical Support	400
Administrative and Other	231
	$5,141

FISCAL
YEAR
1991

PROGRAM: HIGHWAY SAFETY PROGRAM
TITLE: SECTION 410 INCENTIVE GRANT PROGRAM

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
Incentive Grants	-	$ 3,935	$ 8,000

MAJOR PROGRAM OBJECTIVES

The goal of the Section 410 grant program is to contribute to the reduction of alcohol related crashes, injuries and deaths by assisting and encouraging States to adopt DWI prevention countermeasures of proven effectiveness, which are specified in Section 410 legislation. The objective for FY 1991 is to assist three to eight States to qualify for basic and supplemental 410 incentive grant funding during the year.

ENVIRONMENT

Section 410 provides basic and supplemental grants for up to three years to States that adopt and implement comprehensive drunk driving prevention programs which are self-sustaining and include measures that will improve enforcement of State drunk driving laws. To qualify for a Section 410 basic grant, a State must provide for both an expedited drivers license suspension or revocation system and a self-sustaining drunk driving prevention program. A State meeting the requirements for a basic grant can qualify for a 10 percent supplemental grant for each of the following programs it implements: (1) mandatory blood alcohol concentration testing; (2) prevention of operators under age 21 from obtaining alcoholic beverages; (3) prohibiting open alcohol containers and alcohol consumption in a motor vehicle; and (4) suspension of registration and return of vehicle license plates. In addition, an eligible State may receive an additional supplemental grant of 25 percent for implementing a program making it unlawful to have an open container and consume alcohol in a motor vehicle.

Section 410 is similar to, and intended to complement, the Section 408 alcohol incentive grant program for which 24 States were qualified at the end of 1989. At the end of FY 1989, the eligibility under Section 408 ended for nine of the States receiving incentive grants. At the end of FY 1990, it will end for four more States. Thus, even though NHTSA is confident that additional States will qualify for 408 funding, the future incremental impact of the Section 408 program will begin to subside after FY 1990 as more and more States complete their five years of funding eligibility. While Section 408 has been instrumental in stimulating very beneficial anti-drunk driving (and drug-impairment) programs in the States, the agency believes that a significant new incentive is necessary to assist States in taking the next major incremental step in developing highly effective anti-DWI and drug-impairment programs.

Section 410 seeks to stimulate that activity. Certainly, if a State adopted legislation implementing the 15 or 30-day suspension and license revocation aspects of Section 410, this would have a very significant effect on DWI enforcement. Police officers would have a greater incentive to make DWI arrests because they would know that offenders would receive swift and sure sanctions. Police officers would know they are making a difference, which is not always the case now, and drinking drivers would know they have a much greater chance of being caught and punished. In addition, the Section 410 emphasis on programs to reduce the availability of alcohol for persons under age 21 can be expected to have a favorable impact on alcohol-related crashes.

State implementation of Section 410 programs could vastly expand DWI enforcement, with its beneficial deterrent effects, and would also generate increased fines and surcharges for DWI offenses that would be returned to support expanded community DWI programs under the self-sufficiency aspects of Section 410.

STRATEGY

This program will be implemented through continued work with State highway safety officials and citizen groups. It will also be promoted with national coalitions which are dedicated to attaining adoption of effective highway safety legislation, including prompt and sure DWI sanctions, administrative license revocation, lower illegal per se laws, self-sustaining DWI programs, sobriety checkpoints, use of preliminary breath testers (PBTs), mandatory sentencing and impoundment of license plates.

FUNDING REQUIREMENTS

Initial funding for this program was made available during FY 1990; however, FY 1991 is the first full year of implementation. The proposed funding for FY 1991 is based on an assessment of the number of States (estimated at three to eight States) likely to apply for grants during the year, and the minimum funding needed to implement Section 410 grant programs in those States. Based on this planning, a funding level of $8.0 million is proposed for FY 1991.

RESEARCH AND ANALYSIS
(Dollars in Thousands)

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions:			
Operations and Research (GF).....	101	101	...
O&R Trust Fund Share (HTF).......	45	45	...
Total.........................	146	146	...
Dollars:			
Salaries and expenses			
Operations and Research (GF).....	$5,881	$6,252	+$371
O&R Trust Fund Share (HTF).......	2,256	2,422	+166
Subtotal......................	8,137	8,674	+537
Operating expenses			
Operations and Research (GF).....	1,518	1,684	+166
O&R Trust Fund Share (HTF).......	770	1,042	+272
Subtotal......................	2,288	2,726	+438
Contract program			
Operations and Research (GF).....	24,523	21,610	-2,913
O&R Trust Fund Share (HTF).......	7,875	10,115	+2,240
Subtotal......................	32,398	31,725	-673
Summary			
Operations and Research (GF).....	31,922	29,546	-2,376
O&R Trust Fund Share (HTF).......	10,901	13,579	+2,678
Total.........................	$42,823	$43,125	+$302

FUNCTIONAL STATEMENT:

Research and Analysis operates under the mandates of the National Traffic and Motor Vehicle Safety Act of 1966, the Highway Safety Act of 1966, and the Motor Vehicle Information and Cost Savings Act of 1972. The mission of the Research and Analysis activity is to conduct research which will support and improve the safety of motor vehicle transportation through State and community highway safety programs, motor vehicle standards, public information, and voluntary programs with industry.

Research conducted supports NHTSA's mission by identifying safety problems, developing alternative solutions, and assessing their cost, benefits, and effectiveness. Accident data are collected, automated and analyzed to support the development and evaluation of motor vehicle safety standards and traffic safety programs. The collection and analysis of these data is uniquely required by the mission of NHTSA and is not within the normal, operating domain of the private sector. A continuing high priority of NHTSA is to ensure that the findings of NHTSA's research and analysis activities are widely disseminated within the entire highway safety community.

The Research and Analysis Contract Program for FY 1991 will support the following activities: the collection and analysis of motor vehicle accident data; efforts to increase compliance with State safety belt use laws and public understanding of new automatic protection systems; programs directed towards the reduction of alcohol and drug-impaired driving; research to design and develop crash mitigation hardware, test procedures, test devices, and performance criteria for improved driver and passenger protection in crashes; to develop advanced automotive technology to improve driver and vehicle crash avoidance capability; to conduct analyses and studies to assess the influence of vehicle and driver characteristics in crash causation and to identify potential remedial measures; and fleet evaluation of the performance and reliability of antilock brake systems on heavy truck tractors and trailers.

Analysis of Resource Distribution
-Positions-

	Organizational	Element	Assignment to Program Areas					
			Motor Vehicle Research		Highway Safety Research		National Center for Statistics and Analysis	
	FY 1990 Appropriation	FY 1991 Request	FY 1990	FY 1991	FY 1990	FY 1991	FY 1990	FY 1991
Associate Administrator	7	7	4	4	2	2	1	1
Office of Crashworthiness Research	24	24	24	24	...	...	...	...
Office of Crash Avoidance Research	15	15	15	15	...	...	...	...
Office of Driver and Pedestrian Research	21	21	...	...	21	21	...	...
Vehicle Research and Test Center	26	26	26	26	...	...	...	...
National Center for Statistics and Analysis	46	46	...	...	...	...	46	46
Mission Support Functions	7	7	4	4	1	1	2	2
...Total Allocation	146	146	73	73	24	24	49	49
Operations and Research (GF)	101	101	73	73	...	...	28	28
Trust Fund Share (HTF)	45	45	...	...	24	24	21	21
Salaries and Expenses	$8,137	$8,674	$4,251	$4,519	$1,203	$1,292	$2,683	$2,863
Operations and Research (GF)	($5,881)	($6,252)	($4,251)	($4,519)	...	...	($1,630)	($1,733)
Trust Fund Share (HTF)	($2,256)	($2,422)	...	...	($1,203)	($1,292)	($1,053)	($1,130)

Justification for Permanent Positions

Provision is made in each sub-activity for a distributive share of the Associate Administrator's staff and for mission support function positions justified under the General Administration budget activity but shown here because of their key role in achieving various major program objectives.

MOTOR VEHICLE RESEARCH

The Motor Vehicle Research activity which includes the Offices of Crashworthiness, Crash Avoidance and the Vehicle Research and Test Center are responsible for the following functions:

- Plans and conducts research to develop the technology associated with the crash environment and countermeasures to reduce human injury. Develops fundamental understandings, advanced approaches to problem solutions, and evaluation methodologies associated with this technology.
- Develops analytical techniques, computer programs and models for predicting the crash environment; assesses safety performance of motor vehicles and evaluates countermeasures.
- Formulates and conducts or directs research programs to support the development or refinement of motor vehicle data bases for structural crash energy management, and for the development of accident avoidance countermeasures.
- Plans, directs and conducts research and development programs necessary for the development, demonstration and evaluation of occupant packaging and protection systems that control crash-related forces and motions within human tolerance limits.
- Formulates and conducts research programs to demonstrate the technical feasibility of integrating the advanced state-of-the-art in automotive systems into motor vehicles which will provide improved performance, crashworthiness and crash avoidance.
- Develops advanced measurement methods, techniques, approaches and hardware systems required to conduct research projects in the areas of driver/vehicle interaction and driver and passenger performance.
- Utilizes analytical techniques to perform truck safety problem identification/analyses and assesses alternative safety countermeasures.
- Conducts research and development programs and projects of continuing patterns to improve existing, data bases in the field of tire systems, occupant restraint systems, and braking.

- Conducts special programs and projects to span gaps in fundamental knowledge regarding performance criteria and measurement.
- Conducts engineering investigation and tests to identify or confirm the existence of safety-related defects which are conditions or potential conditions that may adversely affect vehicle safety.
- Conducts environmental, load, track, and materials testing required to determine motor vehicle or equipment defects, and to determine compliance with safety performance standards.
- Certifies and develops presentation of test data based on testing, data reduction and analysis, (and collaborates with headquarters elements in interpretations, as needed).

	FY 1990 Appropriation	FY 1991 Request	Increase (+) or Decrease (-)
Positions			
Associate Administrator	4	4	...
Office of Crashworthiness Research	24	24	...
Office of Crash Avoidance Research	15	15	...
Vehicle Research and Test Center	26	26	...
Mission Support	4	4	...
Total	73	73	...
Federal Funds	(73)	(73)	...

HIGHWAY SAFETY RESEARCH

- Plans, directs, conducts and participates in the conduct of research which identifies factors which influence belt system usage and changes in behavior or attitudes towards restraints.
- Plans, directs, conducts and participates in the conduct of research programs aimed at (1) identifying, isolating, and specifying problem behaviors and attitudes related to road users, and accident-generating situations, and (2) determining the incidence of specific agents (e.g., alcohol and drugs), attitude and behavior, and their effect on traffic safety.
- Plans, directs, conducts and participates in the development, testing, and evaluation of traffic safety countermeasures aimed at resolving problems identified through the research program.
- Develops scientific and technical measurement methodology, research approaches and techniques required to conduct RDT&E projects in road user behavior and highway and traffic safety countermeasures.
- Provides consultative services and contract technical management for other elements of NHTSA and through interagency agreement, to other government agencies, in projects involving mission-related areas.
- Establishes and maintains liaison with scientific, technical, professional, other government agencies, and the private sector involved in related RDT&E activities to assure coordination of effort.

	FY 1990 Appropriation	FY 1991 Request	Increase (+) or Decrease (-)
Positions			
Associate Administrator	2	2	...
Highway Safety Research	21	21	...
Mission Support Positions	1	1	...
Total	24	24	
Highway Trust Fund	(24)	(24)	...

NATIONAL CENTER FOR STATISTICS AND ANALYSIS

The National Center for Statistics and Analysis (NCSA) conducts the following activities:

- o Development and operation of a a national program to collect, store, retrieve, disseminate, and analyze information on highway and motor vehicle safety; and specifically on the characteristics of crashes and injuries that result from crashes.
- o Detailed mathematical and statistical analyses and clinical studies of accident-caused trauma; of driver and vehicle performance before, during and after a crash to assess the causes of accidents and injuries, and the effectiveness of safety countermeasures.
- o Analyses to establish measurement and evaluation criteria causal relationships, trends, and other information to determine the effectiveness of the agency's safety programs.
- o Design and development of new and improved techniques for field investigation of motor vehicle crashes to determine the reasons for and causes of accidents.
- o Development and analysis of motor vehicle exposure data to assist in the assessment of the effectiveness of traffic safety programs.

The National Center for Statistics and Analysis is responsible for developing and operating a comprehensive national accident data collection and analysis program to support motor vehicle and highway safety actions. Through its program, NCSA provides the foundation necessary for sound safety decisions in establishing effective and relevant motor vehicle and highway safety programs, and standards. Information is collected and analyzed to support the safety programs of NHTSA, its motor vehicle regulatory and defect programs, and its highway safety grant programs. In addition, NCSA has established itself as a leader in accident data collection and analysis and serves all members of the highway safety community including State and local governments, other Federal agencies, industry and non-government entities, and private citizens.

	FY 1990 Appropriation	FY 1991 Request	Increase (+) or Decrease (-)
Positions			
Associate Administrator	1	1	...
National Center for Statistics and Analysis	46	46	...
Mission Support	2	2	...
Total	49	49	...
Federal Funds	(28)	(28)	...
Highway Trust Funds	(21)	(21)	...
Total	49	49	...

Research & Analysis
Summary of Requirements - Contract Program
(Dollars in Thousands)

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
Motor Vehicle Research			
Crashworthiness Research	$10,874	$ 7,733	$ 8,500
Crash Avoidance Research	4,693	5,947	5,769
Subtotal	$15,567	$13,680	$14,269
(Federal Funds)	(12,787)	(11,960)	(14,269)
(Trust Funds)	(2,780)	(1,720)	(- 0 -)
Highway Safety Research			
Occupant Protection	$ 1,750	$ 1,000	$ 1,080
Alcohol, Drugs, Elderly Pedestrians & Speed	$ 2,268	$ 2,250	$ 2,526
Subtotal	$ 4,018	$ 3,250	$ 3,606
(Trust Funds)	(4,018)	(3,250)	(3,606)
National Center for Statistics and Analysis			
Fatal Accident Reporting Sys	$ 3,503	$ 3,503	$ 3,503
Nat'l Accident Sampl Sys	8,392	7,697	8,047
Accident Data Analysis	2,000	2,000	2,000
Spec Int Accident Investig.	300	300	300
Subtotal	14,195	13,500	13,850
(Federal Funds)	(11,855)	(10,595)	(7,341)
(Trust Funds)	(2,340)	(2,905)	(6,509)
Jackson Memorial Hospital (Federal Funds)	- 0 -	$ 1,968	- 0 -
Trauma Center (Federal Funds)	2,000	- 0 -	- 0 -
TOTAL	$35,780	$32,398	$31,725
(Federal Funds)	(26,642)	(24,523)	(21,610)
(Trust Funds)	(9,138)	(7,875)	(10,115)

PROGRAM: RESEARCH AND ANALYSIS

FISCAL
YEAR
1991

TITLE: VEHICLE RESEARCH

MAJOR PROGRAM OBJECTIVES

To provide a technical data base on the state of motor vehicle safety to support the formulation of policies and the development of technology required to prevent crashes and to reduce the number of fatalities and injuries caused by vehicle crashes.

PROBLEMS AND GOALS

On an annual basis, millions of U.S. citizens will be involved in automobile, light truck and truck/bus police reported accidents. About 46,000 are being killed, and approximately 3,500,000 injured, many permanently. The survivors will spend approximately 2,000,000 days in hospitals and will miss over 14,500,000 days of work. The annual cost to society has been estimated to be over $74 billion. The increasing popularity of light trucks, vans, and utility vehicles as passenger haulers as opposed to cargo haulers has created an entirely new set of vehicle safety issues because of their unique braking, handling, and crashworthiness characteristics. Truck and bus safety is also a matter of increasing concern as the proportion of total accidents and fatalities involving these vehicles remains high. Motorcycle and pedestrian injuries and fatalities continue to be a serious problem.

To support the overall NHTSA goals of reducing the deaths, injuries, and economic losses resulting from vehicle crashes this research will:

1. Develop and apply advanced analytical methods for the assessment of vehicle safety performance and the identification of safety problems.

2. Acquire and analyze biomechanical data for adults and children to develop improved injury criteria and anthropomorphic test devices for safety systems evaluations and/or regulation.

3. Develop test procedures and test devices for assessing the crashworthiness and crash avoidance performance of passenger cars, light trucks, vans, motorcycles, and heavy trucks.

4. Develop engineering analysis techniques to utilize experimental, analytical, and accident data to determine vehicle safety performance as a function of vehicle design.

5. Develop data on the effectiveness of advanced technology for crash avoidance and for crash injury mitigation.

6. Identify and evaluate countermeasures for reducing harm to restrained and unrestrained vehicle occupants and pedestrians.

7. Develop data "linking" and trauma registry data sharing procedures with State agencies and hospitals to obtain the crash data directly in computer form from these original data collectors and to encourage State agency and hospital analyses of trauma causation and treatment.

BENEFITS

Results of this research will be used to demonstrate improved safety performance and to determine the cost to the consumer for such improved performance.

ACCOMPLISHMENTS

Crashworthiness Research

-- Established the capability of attached plastic glass-plastic glazing to reduce ejection.

-- Continued the studies with hospitals and State groups to provide access and linkage to all crash data collected by these groups.

-- Continued research to improve the safety of children in vehicle crashes.

-- Continued the evaluation of air bag systems in vehicle fleets.

-- Continued research as required to support the Notice of Proposed Rulemaking (NPRM) for improved side impact.

-- Continued the evaluation of countermeasures for occupant head impacts into A-pillars and other upper interior components.

-- Continued the study of the effects of different vehicle structural characteristics on injury mitigation in frontal impacts.

-- Continued a program to harmonize side impact test procedures with those being developed by foreign countries.

-- Continued the development of side impact and rollover test procedures for light trucks and vans.

-- Continued side impact and rollover tests to identify and evaluate safety problem areas in light trucks and vans.

-- Continued the study and evaluations of mechanisms of injury to the head, neck, thorax, and abdomen of vehicle passengers involved in vehicle crash impacts.

-- Continued research required to support agency requirements of the ANPRM (Advanced Notice) on improvements in interior head contacts and ejection.

-- Continued to support agency requirements for a safety standard to prevent injuries to pedestrians when struck by motor vehicles.

-- Developed prototype anthropomorphic test dummy components for the neck and abdomen to better replicate human motions in crashes and more accurately assess the likelihood of injury.

-- Designed, tested, and evaluated a new chest structure for a frontal impact dummy that can more accurately evaluate safety benefits of safety belts, air bags, and belt/bag combinations.

-- Continued and expanded experimental trauma research programs that are identifying and quantifying injury mechanisms for frontal and side impacts.

-- Completed development and introduced into routine use in trauma research studies an instrumentation technology capable of measuring the cross-sectional geometry of the thorax or abdomen as it deforms during an impact.

-- Demonstrated the capability of analytically modeling in detail, via finite element technology, the interaction of the chest with either safety belts or air bags, and the skull and brain impacting internal vehicular structures during automotive crashes.

-- Continued a program to test the performance of light vehicles under frontal high speed and offset crash conditions to evaluate their capabilities for occupant protection.

-- Initiated a program to examine frontal offset crash conditions and to develop laboratory test procedures.

-- Continued the evaluation of improved door integrity techniques and test procedures to reduce ejection through doors.

-- Continued the examination of field accident data and biomechanical test results to better understand the injury mechanisms of facial injuries caused by the steering assembly.

-- Continued the development and demonstration of improved interior components and restraint systems to mitigate head injuries received by occupants contacting the instrument panel.

-- Initiated a program to utilize engineering data and laboratory test results to establish a better understanding of the factors behind trends observed in the field accident data.

-- Continued upgrading the crashworthiness State accident database incorporating existing files from several States. This file supplements other national files maintained by the agency to support crashworthiness projects in vehicle systems, occupant protection, and biomechanics.

-- Initiated two projects with Thomas Jefferson University Hospital (Philadelphia, Pennsylvania) to support development of a trauma research program that will support improved diagnosis and treatment of trauma victim injuries sustained from motor vehicle crashes.

-- Continued development and implementation of a methodology that allows introduction of human functional impairment into the process that establishes agency priorities, potential regulatory benefits, and evaluation of current regulations.

-- Assisted and monitored the Centers for Disease Control grants in biomechanics that have modified the Hybrid III test dummy design to different sizes, evaluated the facial fracture mitigating effects of various steering wheels, identified deficiencies in wheel designs and testing methodologies, and developed wheel design that significantly reduces fracture threat high impact velocities.

-- Worked with CDC grantees in conducting a series of side impact tests which provided greater insight in the mechanisms influencing injury and initiated refinement of side impact injury criteria. Continued studies of isolated neuronal tissue that are quantifying the effects that mechanical stimulation have on the functional characteristics of nerves, and characterized the mechanical loading conditions associated with neck fractures which should allow monitoring for these conditions during crash tests.

-- Assisted and monitored a CDC grant on the injury consequences and simulation of rollover crashes.

Crash Avoidance Research

-- Continued research to develop a dynamic test and methodology to evaluate and rank rollover propensity of light trucks and passenger cars.

-- Completed research to evaluate the extent to which the stability, control and braking performance of "high lift" vehicles is degraded as a result of lifted suspensions and oversized tires.

-- Completed a study to examine the technical and economic feasibility of equipping passenger cars with carbon monoxide warning systems.

-- Conducted analyses using the Maryland State Rollover Database developed in previous fiscal years.

-- Continued a program of vehicle testing with extensively instrumented vehicles to determine the validity of commonly utilized vehicle dynamics simulations.

-- Continued to measure inertial parameters of passenger cars and light trucks.

-- Completed development of performance metrics for defining handling, stability, braking and control characteristics of light vehicles and development of simplified methods for determining these metrics.

-- Initiated development and use of standard measures and procedures for evaluating driver direct visibility requirements.

-- Continued the development and use of standardized measures and procedures for the evaluation of the safety impact of high technology vehicle systems.

-- Continued cooperative research with FHWA to develop a methodology to evaluate sources of driver performance degradation related to human factors problems with electronic controls and displays.

-- Completed a planning study to evaluate the technical and economic feasibility of constructing an advanced motion-base driving simulator for human factors research.

-- Continued evaluation of human factors aspects of treatments to increase heavy truck conspicuity.

-- Initiated research to identify and evaluate innovative approaches for detecting the presence of cars or other objects alongside and behind moving medium/heavy trucks.

-- Initiated a study to determine baseline driver workload levels. Initial emphasis will be on truck drivers.

-- Initiated a study to determine driver performance capabilities with respect to warning signals.

-- Completed test track evaluations of U.S. designed and manufactured antilock brake systems for heavy vehicles. Continued a 2-year fleet evaluation of the reliability and maintainability of antilock brake systems on 200 trucks operated by 17 fleets in six cities. Initiated another phase of the evaluation, adding trailers to the fleet of test vehicles.

-- Continued in-depth investigations of select heavy truck crashes in which brake system performance could have been involved as a contributing factor.

-- Continued preparation of a Congressional report on the potential effectiveness of heavy truck speed limiting devices/approaches.

-- Developed test procedures for assessing brake balance on in-service combination-unit trucks.

-- Continued preparation of a Congressional report on the need for improved brake systems for commercial vehicles involving antilock and improved compatibility between tractors and trailers.

-- Continued development of standardized test procedures for evaluating the performance of antilock-equipped heavy trucks.

-- Continued assessment of SAE (Society of Automotive Engineers) measurement procedures for determining the performance of heavy truck brake linings.

-- Continued to utilize the Crash Avoidance Research Database (CARDfile) to conduct analyses and studies of the influence of vehicle and driver characteristics on the incidence of crashes and to identify potential remedial measures.

RESOURCE REQUIREMENTS ($000)		
	FY 1989 Appropriation	$15,567
	FY 1990 Appropriation	$13,680
	FY 1991 Request	$14,269

PLANNED FOR FY 1990 APPROPRIATION AND FY 1991 REQUEST

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
1. Crashworthiness Research	$10,874	$7,733	$8,500

Frontal, side, and rollover crashes account for most of the deaths and injuries to occupants of passenger cars and light trucks. Major causes of harm in these crashes include occupant impact with steering assemblies, roofs, roof rails and headers, A- and B-pillars, dashboards, and doors. In addition, ejection through doors and transparent areas results in significant harm. Improvements in occupant compartment design, in combination with improvements in restraint systems, require research in test procedures, biomechanics of injury measurement, and countermeasure development and evaluation. The FY 1990 and core FY 1991 Research and Development program will consist of the following research:

Continue research to design and develop mitigation hardware, test procedures, test devices, and performance criteria for improved occupant protection in rollover crashes of LTV's (light trucks and vans) and passenger cars.

Continue the necessary research to support advanced standards for steering assemblies in passenger cars and LTV's. Conduct research to support a standard for interior head protection in passenger cars and LTV's. Develop and evaluate restraint system capabilities for a wider envelope of crash conditions and occupant sizes.

Conduct research necessary to reduce ejection injuries through improvements in glazing, latches, and hinges. Conduct research to reduce head, pelvic, and abdominal injury in side crashes.

Conduct research to support initiatives and agency actions in school bus safety and child restraint activities.

Continue research to design and develop mitigation hardware, test procedures, test devices, and performance criteria for improved protection of pedestrians struck by motor vehicles. The primary focus will continue to be prevention of head and chest injury and support of anticipated rulemaking activities.

Continue the harmonized research program to establish international goals and specifications for future improvements in the biofidelity of anthropomorphic test devices.

Conduct the research required to translate dummy measurements into injury potential for various injury modes. Develop the dummies and instrumentation required to evaluate safety improvements in the crash environment.

Continue to support the models, data bases, and computers used in crashworthiness analysis. Continue to support the agency by certifying the accuracy of contractor test equipment, and to conduct critical analyses.

Special emphasis will continue in FY 1991 on the development of improved head injury criteria and impairment measures, the harmonized program for improving the anthropomorphic test device, and improving rollover protection in LTV's.

Increase the Vehicle Research and Test Center's (VRTC) pedestrian laboratory research operations and support of computer systems for examining, storing, retrieving and analyzing data.

Additional efforts will focus on evaluating the safety benefits realizable in terms of pedestrian lives saved and injuries reduced and eliminated. The effort will consist of biomechanical experimentation as well as evaluation and modification of current vehicular concepts.

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
2. Crash Avoidance Research	$4,693	$5,947	$5,769

The FY 1990 and core FY 1991 Crash Avoidance program will consist of research to help drivers avoid crashes or lessen the severity of crashes that do occur. Major programs are aimed at improving the direct and indirect visibility for drivers of medium/heavy trucks, the braking, directional and rollover stability of all vehicle types and the development of evaluation protocols for assessing the safety impact of smart vehicle systems being incorporated into motor vehicles.

Continue to utilize the Crash Avoidance Research Database (CARDfile) to conduct analyses and studies of the influence of vehicle and driver characteristics on the incidence of crashes and to identify potential remedial measures.

Continue analyses using Maryland State Rollover Database on the influence of driver, vehicle, and environmental factors on rollover.

Complete research to develop a comprehensive figure of merit for rollover resistance of light trucks and passenger cars, which accounts for basic geometrical, mass, and inertial properties of vehicles.

Initiate preliminary design of an improved light vehicle rollover test facility for crash avoidance/crashworthiness research.

Continue the development and use of standardized measures and procedures for the evaluation of the safety impact of high technology vehicle systems.

Continue development and use of standard measures for assessing driver direct visibility requirements.

Continue cooperative research with FHWA to develop a methodology to evaluate sources of driver performance degradation related to human factors problems with electronic controls and displays.

Complete evaluation of human factors aspects of treatments to increase heavy truck conspicuity.

Continue a study to determine baseline truck driver workload levels.

Continue the evaluation of the performance, reliability and lifecycle costs of antilock brake systems on tractors, trailer, and dollies in U.S. fleet service.

Complete development of standardized test procedures for evaluating the performance of antilock-equipped heavy trucks.

Complete a Congressional study of the potential effectiveness of heavy truck speed limiting devices/approaches.

Complete assessment of SAE-developed measurement procedures for determining the performance of heavy truck brake linings.

Complete preparation of a Congressional report on the need for improved brake systems for commercial vehicles involving antilock and improved compatibility between tractors and trailers.

Continue development and use of standard measures for evaluating innovative approaches for providing improved indirect visibility in medium/heavy trucks.

Continue a study to determine driver performance capabilities with respect to warning signals.

FY 1991 New Initiatives

ADVANCED TECHNOLOGY PROGRAM

A new Advanced Technology Program would initiate in an effort to exploit advanced technology (advanced electronic, computer, information and communication technology) to develop vehicle safety features to enhance the crash avoidance performance of vehicles. The goals would be to provide: (1) early warning of potentially dangerous driver, vehicle, road or environmental conditions, e.g., proximity warning (blindspot), rollover threshold warning, collision warning, driver inattention/driver impairment, etc., (2) driver assistance/aids, e.g., antilock brakes, adaptive suspensions, smart cruise control, enhanced night vision systems, etc., (3) vehicle control, e.g., adaptive speed control, electronic steering, braking and throttle control, vehicle lateral position control, etc., and (4) optimized driver-vehicle-information interfaces to ensure amount, type and mode of information presentation does not result in degraded driver performance. Critical to the success of this program will be projects to develop and validate research and analysis tools such as instrumented vehicles and motion-based driving simulators needed to obtain necessary data, evaluation protocols for assessing potential safety impact of the introduction of advanced technology and figure-of-merit models or other decision aids to support choice of research directions and agency actions.

FISCAL
YEAR
1991

PROGRAM: HIGHWAY SAFETY RESEARCH

MAJOR PROGRAM OBJECTIVES

To reduce the frequency and severity of traffic crashes and their consequences by conducting research to develop a better understanding of driver and pedestrian traffic behavior and by investigating, developing, and evaluating effective measures that States and communities can use to improve traffic behavior.

PROBLEMS AND GOALS

Human error is the main cause of motor vehicle crashes. Alcohol is involved in about half of all fatal crashes and a substantial portion of non-fatal crashes. Excessive speed also is an important factor. Many vehicle occupants still fail to use safety belts to protect themselves. The fundamental goal of highway safety research is to develop and test methods that can be implemented by States and communities to improve traffic behavior in these and other areas.

Recent experience shows considerable progress. Belt use has increased from about 15% in 1984 to 46% in 1989, and alcohol involvement in fatal crashes has decreased from 57% in 1982 to about 51% in 1988. NHTSA's traffic safety research will build on these successes. It will develop programs to support the nation's and NHTSA's goals for the year 2000, including increased belt use, reduced drunk and drugged driving, and reduced speeding.

Traffic safety research activities include:

- Studying traffic safety behavior: what aspects of traffic behavior lead to crashes, and what behaviors are targets for research?
- Understanding the causes of problem behavior: what influences the problem behaviors, by whom, in what situations?
- Defining potential countermeasures: what approaches are likely to influence problem behaviors, and what are their potential benefits and limitations?
- Developing countermeasures: how can these approaches be developed into specific techniques to be applied in the field?
- Testing and evaluating: how well do the methods work in practice?

BENEFITS

The research will provide a scientific and technical information base on all aspects of traffic behavior, from problem identification to countermeasure development, implementation, and evaluation. It will also develop countermeasure materials to assist in applying scientific findings in the field. This information and these materials can be used by national, State, and local organizations in their individual traffic safety programs.

ACCOMPLISHMENTS

Occupant Protection

- Continued to survey manual and automatic safety belt, child safety seat, and motorcycle helmet use in 19 cities across the country.
- Continued to assist States in designing and analyzing observational surveys of safety belt and child safety seat use.
- Completed a study of the comfort and convenience of automatic safety belt systems in current model year cars.
- Completed a study of the effects of safety belt use laws on crash injuries using police and hospital data.
- Completed a study to identify the wide range of data sources beyond crash and hospital records that can be used to asses the impact of safety belt use laws.
- Completed a study of the impact of increased safety belt use by police on crash injuries in Maryland.
- Continued a major study of efficient and effective strategies for enforcing safety belt use laws and submitted a Report to Congress describing the preliminary results.
- Completed a study of methods to increase safety belt use by children aged 5 to 15.
- Developed safety belt education materials for junior high school students.
- Developed and field tested approaches to increase belt use by different "high risk" driver groups.
- Developed information and strategies to assist belt law proponents in belt law referenda campaigns.
- Strengthened cooperative relations with the Centers for Disease Control (CDC) by writing a joint paper on belt use in NHTSA and CDC surveys, using CDC survey data to identify infrequent safety belt users, and monitoring a CDC grant on incentives to increase belt use by children.

- Alcohol, Drugs, Community Programs, Pedestrians, Elderly and Speed

- Completed a field evaluation of the effect of elimination of plea bargaining for driving while intoxicated (DWI) on general deterrence, DWI recidivism, and court operations.
- Completed a follow-up evaluation of mandatory short-term jail sentences for first offender DWI.

- Provided technical advice and support to the states in their efforts to implement and evaluate alcohol ignition interlock programs.
- Completed an assessment of the validity of the various classification instruments and procedures used by the courts to identify problem drinkers.
- Assessed innovative sanctions for use with multiple DWI offenders and specified resource requirements and limitations.
- Completed a field evaluation of the general deterrence effectiveness of administrative license removal for DWI.
- Completed an evaluation of the effects of hardship licensing on general deterrence and DWI recidivism.
- Completed a laboratory evaluation of the accuracy and reliability of passive alcohol sensing devices for detecting intoxicated drivers.
- Strengthened relations with CDC by assisting CDC grants to develop training in responsible alcohol service practices and to promote pedestrian safety for children.
- Initiated a nationwide assessment of the incidence of drugs in fatally injured drivers and a determination of the extent to which drugs cause these crashes.
- Began providing nationwide estimates of pedestrian and bicyclist crashes classified by the particular crash circumstances and causes involved.
- Surveyed and analyzed existing State licensing practices for older drivers.
- Sponsored a workshop, with the National Institute on Aging, the Centers for Disease Control, and the Federal Highway Administration, to develop a research agenda on older driver mobility, and safety issues.
- Began collecting and analyzing data on the relationships between the health and medical status of older persons and their driving practices and crash involvement.
- Identified and determined the feasibility of new technologies for speed enforcement.

RESOURCE REQUIREMENTS ($000)		
	FY 1989 Appropriation	$4,018
	FY 1990 Appropriation	$3,250
	FY 1991 Request	$3,606

PLANNED FOR FY 1990 APPROPRIATION AND FY 1991 REQUEST

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
1. Occupant Protection	$1,750	$1,000	$1,080

NHTSA's occupant protection research and program efforts are entering a critical phase, due in part to their recent success. Belt use has increased substantially -- as measured in our 19 city survey, it has climbed from 15 percent in 1984 to 46 percent in 1989. Belt laws are now in effect in 33 states and the District of Columbia. All 1990 model year cars have automatic restraints.

This momentum provides an unprecedented opportunity to raise belt use even higher, to meet and exceed the national goal of 85% by the year 2000. Programs and strategies must be developed to reach the more than half of all occupants who still fail to use their manual belts, since manual restraints will outnumber automatics for many years. Additional assistance is needed for States to enact, retain, and enforce belt use laws.

The FY 1990 and FY 1991 program concentrates on three major areas.

Assist State belt use laws. Belt use laws, with appropriate enforcement, publicity, and support, have proven very effective in raising belt use to the 50-70 percent range. NHTSA's research will support States in passing, retaining, and enforcing belt use laws.

- Complete a major study of efficient and effective strategies for enforcing and publicizing belt use laws.
- Report to Congress in December of 1990 and 1991 on the factors related to increasing safety belt use in states with safety belt use laws, including the results of a major study of efficient and effective enforcement strategies.

Increase belt use of specific target groups. Most previous efforts to increase safety belt use have addressed a broad audience. This was effective when few persons used belts. Now, belt use is quite high for some groups but still low for others, such as young blue-collar workers. The field of market research has developed and refined methods for studying particular groups and applying the findings to affect behavior. NHTSA's research will follow this strategy for several specific target groups.

- Complete research and development of methods to encourage part-time belt users to use belts more frequently.

- Complete a study to identify drivers who have a high risk of motor vehicle crashes and to develop effective approaches for increasing their belt use.

- Begin a market research study to define remaining groups who use belts infrequently, understand their attitudes and beliefs regarding belt use and other driving behavior, and define messages and delivery channels to improve their belt use.

Support State and community belt use programs through regular, reliable data and information. NHTSA will continue to provide this support in the following areas.

- Continue to monitor belt, motorcycle helmet, and child safety seat use through the 19 city survey.

- Continue to assist states in designing and analyzing their own belt use surveys.

- Continue to conduct focus groups to gather data quickly, as the need arises, on important current issues, such as reactions to new automatic belt systems.

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
2. Alcohol, Drugs, Community Programs, Pedestrians, Elderly and Speed	$2,268	$2,250	$2,526

The emphasis of the alcohol and drug research program is to meet the needs of state and local highway safety agencies for effective ways of reducing alcohol and drug-impaired driving within their available resources, and to develop programs to create a positive change in society's thinking, attitudes, and behavior regarding drinking and driving.

No single program or approach will solve the nation's drunk driving problem. Instead, different methods must work together, including deterrence through enforcement and publicity of driving while intoxicated (DWI) laws, treatment of problem drinkers, education and voluntary actions that citizens can take to avoid impaired driving by themselves and others, programs to provide alternatives to impaired driving. NHTSA's research supports activities and programs in all areas.

The FY 1990 alcohol research program will:

- Determine the impact of programs to support compliance with the 21 drinking age law.
- Assess the effectiveness of ride service programs that provide alternatives to driving after drinking.
- Implement and assess the effectiveness of a well-designed designated driver program.
- Validate methods for use by courts to assess whether DWI drivers should receive rehabilitation treatment.
- Initiate development and evaluation of comprehensive community-wide DWI deterrence programs.
- Identify and determine the feasibility of new enforcement and court procedures to deter driving with a suspended license.
- Assess the operational issues associated with license plate or vehicle impoundment as sanctions for DWI.

The FY 1991 alcohol research program will focus on a number of problem areas.

While youth DWI has decreased in recent years, it remains a major problem. Work was begun in FY 1990 to develop and evaluate countermeasure programs that can be focused specifically on youth, such as ride services and reducing alcohol availability. Research in FY 1991 will continue the development and evaluation of special DWI measures for youth.

Many methods to deter the drinking driver by increasing the perception of the risk of apprehension and sanction have been proven effective and are being used by States and communities. However, a number of other possible deterrence methods have not been fully developed or evaluated. FY 1991 research will continue to develop and evaluate a comprehensive program including countermeasures from all segments of a community -- police, courts, insurance, and others.

The Drunk Driving Prevention Act of 1988 required NHTSA to study the appropriate blood alcohol concentration (BAC) level for determining when a driver is under the influence of alcohol. Extensive in-house work will be completed in FY 1990 to plan the various study phases, assemble a panel of experts to assist the study, and review the literature regarding the relation between BAC level and driver impairment. A series of workshops will be held and a driver survey will be conducted to determine how the institutions that deal with drinking and driving -- police, courts, media, automobile insurance, activist groups, and others -- might be affected by a reduced BAC limit. In FY 1991 a survey will be conducted to assess how drivers themselves might change their drinking and driving behavior and a final report on the study will be produced.

It is commonly recognized that the drunk driving problem will not be solved by enforcement alone. The long term solution rests with a change in the way society views and behaves with respect to drinking and driving. Society must establish norms or standards of behavior to which persons will adhere because they consider them proper and acceptable. These norms are that persons will not drive while alcohol-impaired and they will prevent others from driving while alcohol-impaired. Research will be initiated in FY 1991 to determine the basis for decisions that relate to drinking and driving, to study existing values that may serve as a basis for improving decision making, and to develop programs for establishing acceptable standards of behavior.

Specifically, the FY 1991 alcohol research program will:

- Determine the impact of a well publicized enforcement and sanctioning program directed at drivers under 21 with any BAC level greater than zero.
- Continue the field evaluation of a comprehensive community-wide DWI general deterrence program.
- Conduct a driver survey to determine how changes caused by a different statutory BAC limit might affect individual drinking and driving behavior.
- Study the bases for individual drinking and driving decisions, and identify ways of avoiding alcohol-impaired driving that individuals find acceptable.
- Identify the values held by individuals that can be linked to anti-drinking and driving messages.

Drug abuse has become a high priority problem at the national level. Yet basic information on drugs in highway safety -- which drugs are the most serious problems and how their effect changes with dose level -- is still unknown. This information is urgently needed by the police to assist enforcement activities. This information also will provide the basis for identifying and developing education and intervention programs. Research in FY 1991 will conclude a number of multi-year projects begun previously to:

- Assess the incidence and role of drugs in fatal traffic crashes.
- Assess the effects of several important drugs on driving performance in driving simulators and controlled on-road driving.

The success of a community traffic safety program is directly related to the extent to which various segments of the community participate and actively support the program. Research to support the development of Community Traffic Safety Programs (CTSP) was initiated in FY 1990. Research to date has identified the important elements of a CTSP, determined how they can be measured, and initiated the collection and analysis of data from existing programs.

FY 1991 activity will:

- Develop means to select management leadership for effective CTSPs and identify techniques to achieve and maintain active community support and involvement.

Pedestrian research in FY 1990 will concentrate on older pedestrians. Specifically, the FY 1990 program will:

- Initiate development of a program to protect older pedestrians in and around the special housing areas in which many older persons live. The program will include countermeasures such as designated safe routes, far side bus stops, and pedestrian training films.

In FY 1991, the pedestrian research program will expand to include the pre-schooler and alcohol problem areas. The FY 1991 program will:

- Increase the assessibility of the "Walking in Traffic Safely" pre-schooler course by producing a video tape and support materials.
- Initiate research on the persistent and difficult problem of drunk pedestrians (about 40% of all adult pedestrian fatalities have high alcohol levels) by assembling and analyzing detailed information on the circumstances and victims involved in these crashes.

The nation's population is aging rapidly. Older persons are increasingly more mobile, both as drivers and pedestrians. But older persons pose special traffic safety problems as physical and mental capabilities change.

In addition to the older pedestrian program described above, research in FY 1990 will:

- Continue work begun in FY 1989 to acquire and analyze data using HHS surveys to study the relationships between the health and medical status of older persons and their driving practices and crash involvement.

Crashes involving excessive speed are a major highway safety problem. Speed limit compliance on 55-mph roads appears to have decreased since speed limits changed to 65 mph on many rural Interstates. One central issue is whether more effective enforcement programs that utilize scarce police resources efficiently, can be developed to deter excessive speeding. Research in this area has already begun and will be continued in FY 1991. Specifically, the FY 1991 program will:

- Continue a number of field evaluations of combined speed, DWI, and safety belt enforcement programs begun in FY 1989.
- Continue to develop and test new enforcement strategies that use new technology such as laser speed measurement and across-the-road radar.

PROGRAM: RESEARCH AND ANALYSIS
TITLE: DATA COLLECTION AND ANALYSIS
NATIONAL CENTER FOR STATISTICS AND ANALYSIS

FISCAL
YEAR
1991

MAJOR PROGRAM OBJECTIVES

The primary objectives of the National Center for Statistics and Analysis (NCSA) are to: (1) collect and (2) analyze data from highway crashes. All program areas in NHTSA are dependent on this data in order to: (1) define the magnitude of a highway safety problem, (2) determine specific components of the problem in which a significant safety improvement is possible and countermeasures can be developed, and (3) evaluate the effects of safety countermeasures introduced into the vehicle/driver environment.

NCSA has developed four programs for providing information on traffic crashes. The Fatal Accident Reporting System (FARS) provides basic information on all highway traffic crashes in the U.S. in which one or more people die of their injuries within 30 days of the accident. This data file is used to provide characteristics of fatal traffic crashes - e.g., the number of automobile occupants killed in frontal crashes or the number of pedestrians killed in traffic crashes. Although fatalities are the most traumatic result of traffic crashes, injuries are a major component of the highway safety problem. The National Accident Sampling System (NASS) provides information from investigations of a statistical sample of police reported accidents at all levels of injury severity. NASS consists of two components - the Crashworthiness Data System (CDS) and the General Estimates Systems (GES). In the CDS, detailed investigations of real world highway crashes involving passenger cars, light trucks and vans are conducted. These investigations provide accurate and detailed information on the crashworthiness, or occupant protection, of these vehicles. The GES is based upon police reports collected from throughout the U.S. The information from these reports is used to make estimates of general traffic safety measures. The third program, state data files, provides information on crashes investigated by police in a state. These files include information on crashes over the spectrum of crash severity, from property damage only up to and including fatalities. The large size of these files, i.e., all police reported crashes, provides data in sufficient quantity to assess a variety of highway safety issues. Finally, Special Interest Accident Investigations provide detailed information on particular crashes of special interest to the agency, such as those involving passenger cars equipped with automatic restraints, heavy trucks, child occupants, serious school bus crashes. Full operation of CDS and GES began in January 1988, following pilot testing of both systems in early FY 1988.

In addition to crash data collection, NCSA analyzes accident data in order to provide information that will: support regulatory initiatives in vehicle crashworthiness and crash avoidance; assess traffic safety issues such as alcohol involvement, safety belt usage and driver licensing; and define detailed vehicle crashworthiness and crash avoidance characteristics used to develop safety countermeasures in motor vehicle research. In addition to the FARS and NASS data collected by the agency, NCSA analyzes information from state accident files. These files are from individual states and contain information on police reported crashes, describing the accident site, the vehicles involved, the occupants and the injury levels. These files are extremely helpful in addressing highway safety issues. The analyses performed by NCSA address specific questions, such as where and to what extent is alcohol involved in accidents, how are mandatory belt use laws affecting motor vehicle occupant fatalities and injuries, what effect have child restraint use laws had on injuries to the young child in accidents, what is the safety effect of raising the minimum drinking age to 21, what is the safety effect of raising the speed limit on rural interstate roads, and how are occupant injuries changing as the number and average size and weight of cars and light trucks on the road changes? NCSA provides information from its data systems on these and other safety questions in the form of monthly, semiannual and annual reports; fact sheets on important highway safety issues; research notes and papers; technical reports; and responses to telephone and written inquiries.

PROBLEMS AND GOALS

Sound highway safety policy must be based on analyses and evaluations of accurate, timely and detailed traffic crash data. This requires designing, developing and operating data collection systems and conducting detailed analyses of the data obtained. The data and analyses must be of superior quality since they are used for supporting agency rulemaking and developing highway safety policy. As such, it is imperative that the data be of sufficient quantity and quality, and be consistently collected and reported. Equally important, the analyses of these data must be technically rigorous and capable of providing a scientific foundation for the agency's legal and regulatory actions.

To provide such traffic crash data, NCSA conducts detailed crash investigations to collect data from a sample of light passenger motor vehicle crashes (NASS); develops and maintains uniform data files on a statistical sample of police reported traffic crashes (GES); develops and maintains uniform data files on all fatal traffic crashes in the nation (FARS); conducts special interest investigations; and collects and maintains selected State accident data files. Analyses of these data, as well as other pertinent records and data bases, provide national estimates of occupant and pedestrian injuries, vehicle types and collision modes, and define the relationship between crash severity and occupant injury. These analyses provide insights into the nature and magnitude of motor vehicle and highway safety problems and furnish information necessary to define and evaluate highway safety countermeasures. Information and activities are shared and coordinated with Congress, the Federal Highway Administration, the National Transportation Safety Board, other government agencies, and private companies and institutions.

BENEFITS

NHTSA is continuing to develop new motor vehicle regulations, and its programs emphasize increased seat belt usage by motor vehicle occupants, non-use of alcohol by drivers, and a minimum drinking age of 21. The NCSA data collection and analysis program provides NHTSA with data to measure the success of these programs and to identify where further gains are possible. This data collection and analysis program also permits NHTSA decision makers to identify emerging safety problems, develop effective motor vehicle and highway safety countermeasures, and evaluate safety programs. Through NCSA's data collection and analysis programs, NHTSA can: (1) understand the various factors that influence highway safety; (2) analyze benefits of future NHTSA activities; (3) quantitatively identify the effectiveness of crashworthiness and crash avoidance motor vehicle design characteristics; (4) relate driver factors such as safety belt use and level to injury and fatality rates; and, (5) provide a clear and concise picture of highway accidents in the U.S.

ACCOMPLISHMENTS

Fatal Accident Reporting System (FARS)

-- Operated FARS since 1975, producing a census of records on close to 750,000 fatalities in crashes. These data are collected from the 50 States, the District of Columbia, and Puerto Rico. They provide information on the demographics of the people involved, their injuries, the types of vehicles involved, the roadway and environment, alcohol involvement, restraint usage and the history of each driver's previous violations and accidents. The information is used to identify and define highway safety problems and to assess the effectiveness of measures to improve safety. FARS provides an important measure of the state of highway safety in the U.S.

-- Provided each FARS site with a significant upgrade of software for analyzing its own FARS data using a data base management system. This gives each State the ability to analyze its own FARS data in detail and to compare its own performance with that of other States. The upgraded software capability has increased timeliness and accuracy of reporting, and decreased the number of requests for data from the States.

-- Continued to use a mathematical model to estimate alcohol involvement in fatal crashes. The model overcomes the problems of incomplete police alcohol reporting and very low blood alcohol concentration testing of drivers in some states. Consequently, NCSA is able to produce accurate data on alcohol involvement in all types of fatal crashes.

-- Made significant improvements in the reporting of key data elements in FARS. For example, the number of States that reported blood alcohol concentration (BAC) results on 80% or more of the drivers killed in crashes increased from 24 in 1985 to 27 States in 1988. The proportion of all driver fatalities with known blood alcohol results improved from 67% in 1985 to 75% in 1988. Thirty-two (32) States made improvements between 1985 and 1988 in this important data area. The reporting of BACs on drivers is the most valid indication of alcohol involvement in FARS.

-- FARS data was the principal data source for studies of the safety impact of raising the rural Interstate speed limit as well as evaluations of the effectiveness of safety belt laws, the safety of older drivers, the role of alcohol in fatal crashes, and the single license law for commercial drivers.

-- Continued to collect death certificate information so that FARS data could be linked with the National Center for Health Statistics data on specific causes of death and autopsy data.

-- Acquired and distributed new computer equipment to all 52 FARS sites and the 10 NHTSA regional offices.

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- Developed and implemented a significant upgrade to the FARS training program which includes the automation of specific training lessons so they can be taken by new FARS analysts in their own state locations; an advanced training program for experienced analysts; a FARS Coding hotline; and the recoding of a sample of FARS cases to determine the accuracy and consistency of coding.

- Provided FARS data and computer files to the Centers for Disease Control for their use in conducting studies on highway safety issues related to the control of injury.

National Accident Sampling System

- Collected and quality controlled data on over 6,000 highway crashes involving late model passenger cars and light trucks to add to the NASS data base. These data cover such information as the sequence of crash events, the crash severity, occupant injuries and their causes and details of vehicle crash protection performance. These data, collected in accord with rigid statistical sampling protocols, provided national estimates of the scope and extent of highway crash injuries and causes. Computerized data files are used for statistical analyses and preparation of summary reports. Engineering analysis of specific cases provided information for countermeasure development and assessment.

- Completed the first annual file of NASS General Estimates data based on a statistical sample of over 45,000 Police Accident Reports. These data, collected from over 400 police jurisdictions around the nation, provides the agency with an overview of highway safety trends and issues.

- Provided detailed data on vehicle crash performance in support of side impact and rollover research, rulemaking considerations and project planning. Collected additional data on such important injury causing systems as steering wheels and columns, windshields and other glass.

- Initiated special programs to collect data on all crashes involving passenger cars equipped with automatic seat belts or airbags. These data provided assessment of the performance of automatic occupant protection systems in the full range of real world crash conditions.

- Continued the exploration of the suitability of new technologies for collection of vehicle crush and occupant injury data. Commercially developed photogrammetry techniques may be used to acquire vehicle damage data. Such techniques can potentially improve file completeness and quality while improving productivity. Artificial intelligence technology to automate the interpretation and coding of medical records promises to improve consistency and quality of this vital data.

- Initiated the replacement of field microcomputer systems to increase productivity and improve quality through enhanced software that better utilizes advanced computer capabilities.

- Continued the refinement of computer modeling programs which provide estimates of the crash severity. Severity measures are essential for assessing injury data and planning crashworthiness countermeasures.

-- Provided NASS data and computer files to the Centers for Disease Control for use in epidemiologic studies of traffic related injuries.

-- Lengthened the Basic Training course for new researchers from two weeks to three weeks in order to provide enhanced crash reconstruction principles to the researchers. Planned update of all training materials to reflect increased NHTSA emphasis on crashworthiness data.

Special Investigations

-- Completed special investigations in the Washington, D.C. area of crashes in which serious head and neck injuries occurred. The victims of these crashes are being studied to better understand the long-term medical and other consequences of such injuries. These investigations assist biomechanics researchers to bridge the gap between real world accidents and laboratory tests and to provide information on the longer term economic, psychological, and sociological impacts of the most serious types of traffic crash injuries and the disabilities that result.

-- Investigated certain crashes where a vehicle safety problem was alleged or suspected. The NASS program provides approximately 75 reports each year of possible safety problems in motor vehicles involved in crashes.

-- Provided support to the Offices of Enforcement and Rulemaking through the investigation of fatal and/or severe school bus crashes. Coordinated with the National Transportation Safety Board (NTSB) on its investigations of school bus crashes.

-- Provided information on the field crash performance of cars equipped with air bags. Approximately 200 air bag vehicle crashes were investigated and documented in the last year. A NHTSA Research Note has been published that analyzes and discusses air bag field performance.

Accident Data Analysis

-- Continued regular reporting of statistics for the nation's traffic accidents. These regular reports include:

  - The FARS Annual Report, a comprehensive description of the nation's fatal traffic accidents using data obtained from police reports and other official sources.
  - The NASS Annual Report, a detailed description of both fatal and non-fatal police-reported traffic accidents, including descriptions of crash circumstances, involved vehicles, occupant and pedestrian injuries, and injury consequences.
  - Semiannual Early Assessments of traffic fatalities from FARS, a timely early estimate of current traffic fatality patterns.
  - Monthly traffic fatality reports which give the latest trends.
  - Periodic Fatality Trend reports which graphically illustrate important fatality patterns observed in the FARS data.

-- Utilized state accident files to address various safety issues including motor vehicle crashworthiness and crash avoidance and highway safety programs. Further, these files are used to assess highway safety trends and identify emergency safety problems.

-- Assessed the lives saved due to increased State minimum drinking ages, to support a uniform minimum drinking age of 21.

-- Analyzed the effect of State mandatory belt use laws on traffic fatalities and injuries, and estimated the additional savings that will occur as additional states pass mandatory use laws and as increased education and enforcement of these laws influence more occupants to buckle up.

-- Analyzed the life saving effects of motorcycle helmet laws in those States with laws and estimated the lives that would be saved if other States pass such laws.

-- Assessed the performance of certain automatic belts in fatal crashes.

-- Assessed the safety impact of the increased speed limit on rural Interstate highways.

-- Analyzed the effects of changing road user trends -- more elderly drivers and pedestrians, larger trucks and smaller cars -- on traffic fatalities and injuries, to understand the forces affecting these trends and to suggest areas of concern.

-- Quantified the effect of holidays on traffic fatalities.

-- Estimated safety belt effectiveness by crash direction, by driver versus right-front passenger, and by presence of a State belt use law.

-- Estimated the fatality reductions resulting from safety belt laws and how these reductions change over time.

-- Examined the effect of periodic motor vehicle inspection programs on traffic fatalities and crashes using FARS and state data.

Establish State Data System

-- Obtained police reported accident files from 26 states. These files provide information on crashes throughout the entire crash spectrum - from property damage only up to and including fatality.

-- Converted files to standard analysis format so highway safety researchers could access and use the files to address a variety of highway safety issues.

-- Used state files to assess a variety of safety issues, including the rollover propensity of motor vehicles, the relationship between vehicle size and crash protection, and the role of driver age in crash involvement frequency.

-- Began to define methods to improve the quality and consistency of state data so that they can be used in traffic safety analyses.

-- Initiated project to make national estimates of highway safety measures using state data files.

RESOURCE REQUIREMENTS ($000)		
	FY 1989 Appropriation	$14,195
	FY 1990 Appropriation	$13,500
	FY 1991 Request	$13,850

PLANNED FOR FY 1990 APPROPRIATION AND FY 1991 REQUEST

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
1. Fatal Accident Reporting System (FARS)	$3,503	$3,503	$3,503

FARS maintains and operates a system to collect information on drivers, vehicles, occupants, and accident scenes for all fatal traffic crashes, using contracts with 50 States, the District of Columbia and Puerto Rico. New state contracts were negotiated with the states in 1987. These contracts are for three years with the potential for a two year extension. The cost of these contracts rises with increasing salaries of state employees. FY 1991 will be the last year of the present contract cycle. We anticipate that costs will be approximately $200,000 higher for state contracts in FY 1991. Offsetting these higher labor costs will be enhanced productivity.

In FY 1991, FARS will:

-- Collect, code, record and create files of fatal motor vehicle traffic accidents for statistical analyses of changes and trends.

-- Maintain and improve a quality monitoring system for FARS, including training, to ensure the quality, completeness and reliability of data entered and retrieved.

-- Implement methods for improved alcohol reporting on both fatally injured and surviving drivers in fatal accidents.

-- Continue collecting information on fatal motor vehicle traffic accidents in support of side and frontal impact protection rulemaking, on heavy truck crash factors and underride, and older child (5 to 12 years old) crash protection.

-- Produce annual and special reports containing FARS data and analyses on special interest areas such as alcohol and the increasing involvement of females and older drivers in fatal traffic accidents.

-- Collect information on the magnitude of multiple driver licenses for heavy truck drivers involved in fatal crashes after the single license law is in effect.

-- Provide data to assess the safety impact of the increased rural Interstate speed limit and the performance of emergency medical services.

-- Explore new software and the capabilities of new hardware to reduce data processing and communication costs.

-- Provide detailed information on fatal crash involvements of vehicles of interest to NHTSA's Office of Defects Investigation.

-- Improve the quality of available information on alcohol involvement in fatal accidents by developing and refining procedures which reduce reporting bias and missing data rates.

-- Expand techniques for imputing aggregate or individual values on unreported data elements commonly used for safety analyses.

-- Continue to collect information in FARS that will include linkage with death certificate information maintained by the National Center for Health Statistics. This will provide more detail on specific injuries and the cause of death for motor vehicle victims. Additionally, the linkage will enable NHTSA to estimate the proportion of work-related traffic fatalities.

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
2. National Accident Sampling System (NASS)	$8,392	$7,697	$8,047

The NASS Crashworthiness Data System (CDS) collects detailed data on vehicle performance and occupant injuries for approximately 7,000 light passenger vehicle crashes annually. This data collection, conducted under controlled statistical sampling procedures, is performed by private firms under contract to NHTSA. Field data researchers at 36 separate locations are trained by NHTSA and use uniform procedures and equipment to measure and record vehicle damage, crash scene measurements and occupant injuries. The NASS General Estimates System (GES) collects information from a statistical sample of about 45,000 Police Accident Reports on all types of highway crashes. Reports are collected and information from these reports is transcribed to a common coding base. Both CDS and GES data are quality controlled and electronically coded in computerized files for statistical analysis. Such nationally representative data are not available from any other source.

NASS data provide detailed descriptions of crashes involving light passenger vehicles. The objective of NASS crash investigations is to provide the agency with a comprehensive understanding of the relationship between vehicle crash severity and occupant injury. NASS data define the crash performance of the vehicle structure and vehicle subsystems such as interior padding, steering columns, and restraint systems. These data, coupled with detailed descriptions of occupant injury, will allow the agency to conduct detailed analyses of the relationships between occupant injury and crash severity. These analyses provide the foundation for agency actions in crashworthiness rulemaking, consumer information on occupant crash protection, and the development and evaluation of countermeasures to reduce occupant injury. NASS data also are used in defining the magnitude of the injury population in motor vehicle crashes. Using NASS data, safety benefits of vehicle countermeasures can be determined. The ongoing program will:

-- Provide files of motor vehicle crash data for analyses of changes, costs and effects of accidents.

-- Provide automated data files and clinical case files for use by analysts in Rulemaking, R&D, Plans and Policy and for other Agency and private sector users in evaluating research needs, proposed rules and program effectiveness.

-- Collect detailed crashworthiness performance data for late model year passenger cars, light trucks and vans including detailed information on vehicle structures and component systems to provide information for side impact and rollover protection rulemaking.

-- Complete the development of automated injury coding technology and initiate field tests for evaluation.

-- Collect detailed crash performance data on automatic occupant protection systems including automatic belts and airbags for improved understanding of the real-world performance of such systems. Data will include crash severities and occupant injuries.

-- Collect crash data on the performance of side structures and interior padding on thoracic injuries to front and rear seat occupants. Relate injury level to vehicle interior components, such as A-pillars, roof rails and roof headers.

-- Collect crash data relating driver/passenger crash injuries and severities to contacts with vehicle interior components or padding and with passenger compartment intrusions.

-- Collect crash injury data, including injury severity and injury source, for older children (5 to 12 years old) in all model year vehicles in support of research on additional safety measures for the transport of older children.

-- Continue the acquisition of data on highway crash performance of child safety seats for evaluation of the need to increase test severity for new and existing seat designs.

-- Collect, code, record and create files of general accident data from a sample of police accident reports for statistical analysis of changes and trends in traffic accidents.

-- Continue the acquisition of crash data on the utilization of seat belts, expand the data collection to include the local application of mandatory use laws, and devise improved staff training and collection protocols that will enhance the acquisition and validity of data on restraint utilization.

-- Continue the acquisition of data on alcohol involvement in highway crashes and promote increased cooperation with official sources (hospitals, police) to improve quantity and validity of BAC and other alcohol related information.

-- Complete the evaluation of improved acquisition techniques and simplified computer technologies to acquire and record data needed to reconstruct accidents and estimate the crash severity of a wide range of single and multi-vehicle crashes. Conduct expanded pilot tests.

-- Produce annual and special reports on general characteristics of traffic accidents.

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
3. Accident Data Analysis	$2,000	$2,000	$2,000

Accident data analysis is the basis for the assessment of highway safety issues in crashworthiness, crash avoidance, and traffic safety. These issues will include the effects of countermeasures in vehicle crash protection such as air bags and automatic belts, in crash avoidance such as reducing rollover propensity, and in programs that affect the frequency and severity of crash involvement, such as belt and helmet use laws and driver licensing provisions. The accident analysis activity will continue to use State data files to assess highway safety issues. These files have proven to be a powerful addition to the agency's data base and allow analyses of a wide variety of traffic safety questions. The ongoing program will:

-- Use the extensive crash data available to NCSA to study and analyze priority Agency issues. The objectives of accident data analysis are to support regulatory initiatives in vehicle crashworthiness; assess traffic safety issues such as alcohol involvement, safety belt usage, and driver licensing; and define the detailed vehicle crashworthiness characteristics used to develop safety countermeasures.

-- Measure the traffic fatality reductions resulting from State mandatory belt use laws, using FARS data. Determine how these reductions change over time.

-- Investigate how mandatory belt use laws have reduced traffic injuries and changed injury patterns, as shown in automated State data files.

-- Determine which occupants fail to use belts even when required by law, using both FARS and State data, to locate those who should be targeted in usage campaigns.

-- Investigate what injuries are suffered by belted occupants, to define areas for further crashworthiness research.

-- Assess the safety impact of raising the national maximum speed limit on some rural Interstates

-- Study the effect of the economy and social factors on traffic fatalities.

-- Evaluate the utility of State accident data for crashworthiness, belt use, general estimates of highway safety and trend analysis.

-- Evaluate the effectiveness of automatic restraint systems in the reduction of fatalities and injuries compared to manual systems.

-- Use NCSA's statistical methodology for estimating alcohol involvement in fatal traffic crashes, 1982-1987, to assess alcohol's role, determine how it has been changing, and suggest areas where drunk driving programs may be effective.

-- Analyze the role of alcohol in non-fatal accidents through studies of individual State data files.

-- Analyze NCSA's crashworthiness data files to provide support for the Agency's crashworthiness rulemaking agenda. Provide data and analyses for Advanced Side Impact Protection. Provide problem definition and analysis studies for the Driver and Passenger Frontal Protection projects. Conduct exploratory analyses of the crash injuries suffered by children ages 5 to 12 in passenger vehicles, who are not adequately protected either by child restraints or by adult belts. Investigate the usefulness of extending all passenger car occupant protection standards to light trucks and vans.

-- Continue to monitor and analyze the effects of changing road user trends, to understand the various forces affecting these trends and to suggest areas of concern. Examples include faster highway speeds, more elderly drivers and pedestrians, larger trucks and smaller cars.

-- Continue to provide staff, computer support, and contract assistance to answer the thousands of information requests received annually from federal, State, and local governments, the media, research organizations, and private citizens.

-- Continue to provide assistance in mathematics, statistics, data analysis, and survey sample design and analysis to many agency offices.

-- Continue to produce regular statistical reports, including monthly traffic fatality estimates, semiannual traffic fatality analyses, comprehensive annual FARS and NASS reports, periodic fatality trend studies, and special topic reports as appropriate.

-- Use state accident files to analyze the effects of automatic restraints on the frequency and severity of occupant injuries, the role of car size in injury severity and the efficacy of certain sanctions, such as administrative per se and mandatory jail sentences, on the role of alcohol in traffic crashes.

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
4. Special Interest Accident Investigations	$300	$300	$300

The mix of the ongoing investigation of special interest accidents this year will be weighted towards crashes of heavy trucks with other vehicles and crashes of passenger cars with automatic restraints. In addition, the ongoing program will:

-- Conduct quick reaction investigations of motor vehicle crashes of special interest including:

  - Fatal or serious injury crashes of school buses.
  - Crashes in which vehicle defects are suspected of contributing to the occurrence or exacerbating the injuries.

- Crashes that are the subject of major, detailed studies of the long term consequences of serious head, neck, and torso injuries.

-- Data from special investigations are used to assess the automatic crash protection requirements of FMVSS 208, Occupant Crash Protection. They provide detailed information on the field performance of air bags and automatic belts in a variety of real world crashes.

-- Investigations of crashes producing serious head, neck, and torso injuries are used in a program to assess the longer term effects of these injuries. This information can be used to provide a more detailed assessment of the cost of such injuries to allow more accurate regulatory analyses and better assessment of the benefits of standards to improve occupant crash protection.

-- Investigate crashes in which defects are alleged to have played a role. These are initiated at the request of offices within NHTSA and can be used in cases where the proportion of crashes of the type being investigated is too small to be included in general accident data files.

RESOURCE REQUIREMENTS ($000)

Fiscal
Year
1991

PROGRAM: RESEARCH AND ANALYSIS
TITLE: JACKSON MEMORIAL HOSPITAL

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
Jackson Memorial Hospital	- 0 -	$1,968	- 0 -

In Conference Report 101-315 on the Department of Transportation's appropriation for FY 1990, Congress directed NHTSA to provide support for the shock trauma research program at Jackson Memorial Hospital in FY 1990. This program is supporting development of a trauma research program to improve diagnosis and treatment of trauma victim injuries sustained inmotor vehicle crashes. NHTSA is not requesting funding for FY 1991.

PROGRAM: RESEARCH AND ANALYSIS
TITLE: TRAUMA PROGRAMS

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
Injury Control	$2,000	- 0 -	- 0 -

The Centers for Disease Control's (CDC) Injury Control Program grew out of a three-year pilot project funded by NHTSA at $27 million between FY 1986 and FY 1988. In FY 1989, NHTSA's appropriation included $2 million, principally focused on biomechanics research to both supplement CDC activity and assure adequate linkage between CDC and NHTSA. The agency did not request funding for FY 1990, and is not requesting funding for FY 1991.

OFFICE OF THE ADMINISTRATOR
(Dollars in Thousands)

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions:			
Operations and Research (GF).....	29	29	...
O&R Trust Fund Share (HTF).......	10	10	...
Grant Administration (HTF).......	7	7	...
Total........................	46	46	...
Dollars:			
Salaries and expenses			
Operations and Research (GF).....	$1,704	$1,811	+$107
O&R Trust Fund Share (HTF).......	683	735	+52
Grant Administration (HTF).......	302	311	+9
Subtotal.....................	2,689	2,857	+168
Operating expenses			
Operations and Research (GF).....	396	523	+127
O&R Trust Fund Share (HTF).......	145	204	+59
Subtotal.....................	541	727	+186
Summary			
Operations and Research (GF).....	2,100	2,334	+234
O&R Trust Fund Share (HTF).......	828	939	+111
Grant Administration (HTF).......	302	311	+9
Total........................	$3,230	$3,584	+354

FUNCTIONAL STATEMENT

The Office of the Administrator provides for the overall executive direction, coordination, and implementation of the agency's programs in accordance with statutory authority derived from the National Traffic and Motor Vehicle Safety Act, the Highway Safety Act, and the Motor Vehicle Information and Cost Savings Act.

In the area of executive direction, responsibilities include providing leadership and direction; initiating new programs to reduce traffic fatalities and injuries; coordinating research and development efforts to meet legislative objectives; determining program modifications to meet changing needs and requirements; and coordinating program and management policies.

- JUSTIFICATION FOR PERMANENT POSITIONS -

IMMEDIATE OFFICE OF THE ADMINISTRATOR

The Administrator is responsible for the executive direction of the agency and for the establishment and overall implementation of NHTSA's policy. The allocations shown below cover the Administrator and immediate staff.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	4	4	...

OFFICE OF THE DEPUTY ADMINISTRATOR

The Deputy Administrator assists the Administrator in discharging all assigned responsibilities and provides executive direction to the Coordinator for Regional Operations and the Director of International Harmonization. The allocations shown below cover the Deputy Administrator and immediate staff.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	2	2	...

OFFICE OF THE EXECUTIVE DIRECTOR

The Executive Director provides executive direction and supervision to the Associate Administrators. Serves as principal advisor to the Administrator and Deputy Administrator with respect to internal management and mission support programs. Provides advice, guidance, and direction for major support activities, including key personnel appointments and allocation of resources.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	2	2	...

DIRECTOR OF INTERGOVERNMENTAL AFFAIRS

The Director of Intergovernmental Affairs is responsible for providing liaison with Members of Congress, Congressional committees and intergovernmental entities on behalf of the Administrator, Deputy Administrator and Executive Director.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	2	2	...

DIRECTOR OF INTERNATIONAL HARMONIZATION

The Director of International Harmonization is responsible for formulating strategies for dealing with issues arising from the agency's program for harmonization of U.S. motor vehicle safety standards and regulations with those of foreign countries. Receives and integrates policy guidance on the harmonization program and aids in the development of policy positions to be used by U.S. representatives (generally standards engineers) to international standards committees. Reviews and analyzes results of discussions of committee meetings. Keeps the Administrator and Deputy Administrator informed on harmonization policy positions and activities.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	1	1	...

EXECUTIVE SECRETARIAT

The Executive Secretariat provides a central facilitative staff for the Administrator and Deputy Administrator to ensure prompt and accurate communications within the Department of Transportation, with other agencies of the Government, and the general public. In this capacity, this office administers an executive correspondence program, which includes preparing replies to the public and to Congressional inquiries and advising other NHTSA offices on correspondence. The office also manages Congressional report monitoring functions.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	8	8	...

COORDINATOR FOR REGIONAL OPERATIONS

The Coordinator for Regional Operations provides day-to-day assistance in the coordination of regional activities.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	2	2	...

OFFICE OF CIVIL RIGHTS

The Director of the Office of Civil Rights serves as a principal staff advisor to the Administrator and top management officials on civil rights and equal opportunity matters. The Director and staff of this office have responsibility for developing and administering a nationwide program of civil rights and equal employment opportunity as it affects the internal employment programs for NHTSA employees and external programs where funds are provided under direct Federal or federally-assisted contracts and grant-in-aid contracts, to assure that no person is subject to discrimination because of race, color, religion, sex, national origin, age or handicap.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	5	5	...

OFFICE OF PUBLIC AND CONSUMER AFFAIRS

The Office of Public and Consumer Affairs maintains a public information and consumer program to service the needs of the agency, the media, the public, and the Congress.

The Division of Public Affairs reports on all NHTSA activities and serves as a control point for handling press and public inquiries concerning NHTSA programs and policies. This division also coordinates and prepares the agency's annual reports.

The Division of Consumer Affairs develops and provides information of particular interest or safety benefit to general or specific consumer groups and the public at large, and includes responding to consumer questions and complaints. Also, this division represents the consumer interests in activities of the agency.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	12	12	...

OFFICE OF THE CHIEF COUNSEL

The Office of the Chief Counsel provides legal services to the Administrator and the various headquarters elements and field offices within NHTSA. The services provided deal primarily with legislation, regulations on rulemaking litigation, and general law matters.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	8	8	...

OFFICE OF THE ADMINISTRATOR
Explanation of Differences In Organization and Budget Position Allocation

Organizational Element: Office of the Administrator	Organizational Allocation	Mission Support Function	Budget Allocation
Office of the Administrator	4	...	4
Deputy Administrator	2	...	2
Executive Director	2	...	2
Intergovernmental Affairs	2		2
International Harmonization	1	...	1
Executive Secretariat	8	...	8
Coordinator for Regional Operations	2	...	2
Office of Civil Rights	5	...	5
Office of Public and Consumer Affairs	12	...	12
Office of Chief Counsel	30	-22	8
Total, Office of the Administrator	68	-22	46

Explanation

Mission Support Functions

Chief Counsel - Twenty-two positions organizationally assigned to the Office of the Administrator are shown in various program areas since they provide direct and specialized legal support for activities dealing with the regulatory, enforcement, and general law matters relative to the traffic and motor vehicle safety and fuel economy functions of NHTSA.

The assignment of staff to program areas is done in order to provide a more complete accounting of resources which are supportive of the program areas affected.

The 22 positions are distributed as follows:

Rulemaking.............	10
Enforcement............	5
Highway Safety.........	4
Research and Analysis..	3

GENERAL ADMINISTRATION
(Dollars in Thousands)

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions:			
Operations and Research (GF).....	60	60	...
O&R Trust Fund Share (HTF).......	20	20	...
Grant Administration (HTF).......	11	11	...
Total........................	91	91	...
Dollars:			
Salaries and expenses			
Operations and Research (GF).....	$2,986	$3,229	+$243
O&R Trust Fund Share (HTF).......	1,078	1,179	+101
Grant Administration (HTF).......	423	437	+14
Subtotal.....................	4,487	4,845	+358
Operating expenses			
Operations and Research (GF).....	2,859	3,140	+281
O&R Trust Fund Share (HTF).......	516	915	+399
Grant Administration (HTF).......	509	577	+68
Subtotal.....................	3,884	4,632	+748
Contract program			
Operations and Research (GF).....	400	464	+64
O&R Trust Fund Share (HTF).......	144	185	+41
Subtotal.....................	544	649	+105
Summary			
Operations and Research (GF).....	6,245	6,833	+588
O&R Trust Fund Share (HTF).......	1,738	2,279	+541
Grant Administration (HTF).......	932	1,014	+82
Total........................	$8,915	$10,126	+$1,211

FUNCTIONAL STATEMENT

General Administration includes the development, coordination and evaluation of NHTSA's plans and programs. Studies are conducted to define the agency's objectives; new programs are developed or major changes are made in the emphasis of ongoing programs. Support services are provided for the development and implementation of comprehensive programs in all administrative areas, including personnel management and organization planning; financial management; management data systems; management improvement; and contracting and procurement. In addition, administrative services are provided or obtained as required for effective program operations, including general housekeeping services, computerized data services, and technical reference services relating to motor vehicle and traffic safety research documents.

- JUSTIFICATION FOR PERMANENT POSITIONS -

ASSOCIATE ADMINISTRATOR FOR PLANS AND POLICY

The Associate Administrator for Plans and Policy coordinates the development of NHTSA plans, policies, budgets, and programs; and provides analyses of their expected impact and their evaluation in terms of the degree of goals achievement. The Associate Administrator is also responsible for conducting independent analyses of proposed regulatory activities. These functions are carried out by the offices described below.

The Office of Budget, Planning and Policy Development serves as the focal point in the agency for the development of policy options, budgets and program initiatives. It assists in the definition of NHTSA's objectives and develops broad, long-range program plans for achievement of these objectives.

The Office of Regulatory Analysis serves as the focal point for conducting engineering, economic, and regulatory analyses for the independent assessment of the impact of NHTSA's programs on the national economy, social conditions, market forces, the environment and regulated industry.

The Office of Standards Evaluation reviews existing Federal Motor Vehicle Safety Standards and evaluates them to determine their cost and their effectiveness in terms of benefits such as lives saved, injuries reduced and property damage averted.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	10	10	...

OFFICE OF THE ASSOCIATE ADMINISTRATOR FOR ADMINISTRATION

The Office of the Associate Administrator for Administration is the principal advisor to the Administrator, through the Executive Director, on all administrative matters pertinent to NHTSA missions, programs, and objectives. In this capacity, the Associate Administrator participates in policy determinations and program formulation, directs the activities of various administrative elements such as personnel management, financial management, etc. She also specifies, acquires, and coordinates staff support services such as payroll, audits, etc., provided by other DOT elements, and provides technical assistance to cooperating State organizations in connection with organizational matters, management practices, and financial and administrative management relative to NHTSA policy and program requirements.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	4	4	...

OFFICE OF PERSONNEL

The Office of Personnel plans and administers comprehensive personnel management and training policies and programs. This encompasses recruitment, placement, position classification, employee utilization, employee relations, labor relations, position management, incentive awards, grievances, merit promotion, employee training and several other programs and activities.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	11	11	...

OFFICE OF CONTRACTS AND PROCUREMENT

The Office of Contracts and Procurement develops and administers procurement management policies for all elements of NHTSA, including Regional Offices. This involves planning and administering the agency's procurement program in accordance with Federal and Departmental procurement policy and procedures. Other functions include the solicitation of bids and proposals, contract awards and administrative contract management.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	21	21	...

OFFICE OF MANAGEMENT AND DATA SYSTEMS

The Office of Management and Data Systems provides comprehensive management and organizational analysis services and consultive services aimed at improving management practices and control and improving agency performance and productivity. In addition, the office provides and administers NHTSA automatic data processing programs.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	12	12	...

OFFICE OF ADMINISTRATIVE OPERATIONS

The Office of Administrative Operations provides essential administrative, technical reference and auxiliary support services for NHTSA; administers the occupational safety and health, fire prevention and emergency preparedness programs; and provides liaison with other elements of the Department.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	16	16	...

OFFICE OF FINANCIAL MANAGEMENT

The Office of Financial Management develops and administers NHTSA's financial management policies and standards, and designs, installs, and administers the approved accounting systems prescribed for NHTSA. Significant activities include the development of administrative procedures for the control of appropriations, allocation of the Highway Traffic Safety Grant Program funds to the States, assisting the States in the administration of federally assisted programs, and liaison activities with counterparts in the Office of the Secretary of Transportation, Department of the Treasury, and the General Accounting Office.

	FY 1990 Appropriation	FY 1991 Request	Increase(+) or Decrease(-)
Positions	17	17	...

GENERAL ADMINISTRATION
Explanation of Differences in Organization and Budget Position Allocation

Organizational Element: General Administration	Organizational Allocation	Mission Support Function	Budget Allocation
Associate Administrator - Plans and Policy	33	-23	10
Associate Administrator - Administration	4	...	4
Personnel	11	...	11
Contracts & Procurement	21	...	21
Management & Data Systems	12	...	12
Administrative Operations	18	-2	16
Financial Management	17	...	17
Total, General Administration	116	-25	91

Explanation

Mission Support Functions

Plans and Policy - twenty-three positions assigned to the Office of Plans and Policy are shown in various programs since they provide direct and specialized support for developing plans, objectives, economic impact and analyses and evaluations for the administration of major program activities.

Administrative Operations - two positions assigned to the Office of Administrative Operations area are assigned technical reference responsibilities for Rulemaking programs.

The assignment of General Administration staff to program areas is done in order to provide a more complete accounting of resources which are supportive of the program areas affected.

The 25 positions are distributed as follows:

Rulemaking..............	16
Enforcement.............	1
Highway Safety..........	4
Research & Development..	4

GENERAL ADMINISTRATION
RESOURCE SUMMARY
CONTRACT PROGRAM
(Dollars in Thousands)

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
Program Evaluation	$671	$544	$649
Federal Funds	488	400	464
Highway Trust Funds	183	144	185
Total	$671	$544	$649

Program: Program Direction and Coordination
Plans and Policy
(Dollars In Thousands)

FISCAL
YEAR
1991

Project Title: Program Evaluation

FY 1989 Appropriation	$671
FY 1990 Appropriation	$544
FY 1991 Request	$649

Major Program Objective:

Evaluate benefits and costs of programs and rules.

Problem:

There is a continuing need to evaluate the effectiveness and public acceptance of national highway safety programs and regulations. In addition, each agency is required by Executive Order 12291 to review existing regulations to evaluate their net benefits and costs to society. Of particular interest is the effectiveness of Federal Motor Vehicle Safety Standards (FMVSS).

Objectives and General Approach:

The objective of program evaluation is to gather information on program activities and measure their effectiveness in reducing crashes and their consequences.

In FMVSS evaluation, existing standards are evaluated to determine their effectiveness in terms of benefits such as lives saved, injuries reduced or property damage averted in motor vehicle operation. The evaluation results serve as one basis for rulemaking decisions on present and future rules. Present standards may be modified, deleted or continued as a result of a thorough evaluation and verification of improved safety performance of the affected motor vehicles.

Approach:

FMVSS evaluation is a systematic effort to establish the effectiveness of major vehicle and equipment standards which have been in effect for several years, and to evaluate new standard effectiveness after vehicles are made to comply with the standard. The evaluation process begins by determining if and how the standard can be evaluated, followed by a series of studies designed to: collect and analyze on-the-road or surrogate data (to determine changes in crash experience or related vehicle performance); estimate changes in consumer costs for vehicle safety equipment; and analyze and estimate overall standard effectiveness, benefits and costs.

Benefits:

FMVSS evaluation will help assess the suitability of performance requirements based on vehicle design under real-world conditions; help establish a basis for revising standard performance requirements; and determine the extent to which crash frequency and severity in terms of injuries, fatalities, and damage are reduced.

Accomplishments for FY1989

- Completed follow-up evaluation of center high mounted stop lamps.
- Completed contractor analysis of insurance premiums and payouts for 1985/86 designated high theft rate passenger cars.
- Completed contractor evaluation of costs of marking parts of high theft rate passenger cars.

FY 1990 Work to be Accomplished

Four evaluations that were begun in 1988-89 will continue in 1990: theft prevention (the 1989 theft-related insurance data will be collected and analyzed for corroboration of data included in the report to Congress due in 1990); occupant protection (accident data will be statistically analyzed to compare fatality and injury rates in cars with automatic belts relative to cars with manual belts); tire labeling survey (to determine knowledge and use of tire information in consumer purchasing decisions); and antilock brakes (by analyzing State accident data and road tests to measure effectiveness in reducing crashes).

$544

Planned for FY 1991

Major evaluations begun in previous fiscal years will continue in 1991, as outlined in evaluation plans for these programs: occupant crash protection (crash data will be collected and analyzed as more new cars are equipped with automatic crash protection systems); and antilock brake systems (additional crash data will be collected and analyzed as more cars and light trucks are equipped with different designs of antilock brake systems). Possible new starts in FY 1991 include studies of the effectiveness of rear seat lap/shoulder belts, the effectiveness of the hood latch and windshield zone intrusion standards, radial tires, a follow-up evaluation of center high mounted stop lamps, and a review of the seat belt assembly regulation.

$649

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
MISCELLANEOUS SAFETY PROGRAMS

Program and Financing (in thousands of dollars)

Identification Code: 69-0651-0-1-401		FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
	Program by activities:			
10.00	Total obligations (object class 41.0)................	98	213	...
	Financing:			
21.40	Unobligated balance available, start of year..............	-311	-213	...
24.40	Unobligated balance available, end of year................	213	...	...
39.00	Budget authority.............	...	...	...
	Relation of obligations to outlays:			
71.00	Obligations incurred, net....	98	213	...
72.40	Obligated balance, start of year......................	7,482	7,374	6,187
74.40	Obligated balance, end of year......................	-7,374	-6,187	-4,787
90.00	Outlays....................	206	1,400	1,400

This schedule displays the following programs funded by State and community highway safety: Territorial Grants and Transportation Systems Management. These programs no longer require appropriations. Obligation and outlay amounts shown reflect spend-out of prior year appropriations.

OPERATIONS AND RESEARCH

(HIGHWAY TRUST FUND)

For expenses necessary to discharge the functions of the Secretary with respect to traffic and highway safety under chapter 4, title 23, United States Code, to be derived from the Highway Trust Fund, [$32,300,000] $40,950,000, to remain available until expended [:Provided, That, of the funds available under this head, $2,000,000 shall be available for light truck and van safety research and analysis]. (Department of Transportation and Related Agencies Appropriations Act, 1990)

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH
(HIGHWAY TRUST FUND)

Program and Financing (in thousands of dollars)

Identification Code: 69-8016-0-7-401		FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
	Program by activities:			
00.01	Highway safety programs......	15,550	18,384	24,153
00.02	Research and analysis........	12,186	10,815	13,579
00.03	Office of the Administrator..	912	828	939
00.04	General administration.......	2,103	1,729	2,279
10.00	Total obligations..........	30,751	31,756	40,950
	Financing:			
39.00	Budget authority	30,751	31,756	40,950
	Budget authority:			
40.00	Appropriation................	30,751	32,300	40,950
40.00	Reduction pursuant to P.L. 101-164...............	...	-97	...
40.00	Reduction pursuant to P.L. 99-177................	...	-447	...
43.00	Appropriation (adjusted).....	30,751	31,756	40,950
	Relation of obligations to outlays:			
71.00	Obligations incurred, net....	30,751	31,756	40,950
72.40	Obligated balance, start of year......................	53,157	24,379	22,379
74.40	Obligated balance, end of year......................	-24,379	-22,379	-24,576
90.00	Outlays...................	59,529	33,756	38,753

NOTE- Highway Trust Fund outlays were increased by $24 million in 1989 to correct an error in 1988 reports to Treasury.

DEPARTMENT OF TRANSPORTATION

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

OPERATIONS AND RESEARCH (HIGHWAY TRUST FUND)

PROGRAM AND PERFORMANCE

This account represents the portion of the operations and research appropriation authorized under 23 U.S.C. 403 and financed from the Highway Trust Fund for the following activities:

1. Highway Safety Programs - Provides for headquarters and field staff to assist the States in the conduct of their highway safety and demonstration programs, and to develop and implement a National Occupant Protection Program.

2. Research and Analysis - Provides for highway safety research in support of NHTSA programs, including the collection and analysis of data to determine the relationship between driver performance characteristics and crashes causing death or personal injury. Research is also undertaken to identify ways to improve safety belt usage and deter drunk and drugged driving. The FY 1991 budget includes funds to continue a national accident data collection program to improve problem identification, regulatory reform, and program evaluation activities.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH
(HIGHWAY TRUST FUND)
Object Classification (in thousands of dollars)

Identification Code: 69-8016-0-7-401		FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
	Personnel compensation:			
11.1	Full-time permanent..........	8,111	7,872	8.790
11.3	Other than full-time permanent..................	498	695	735
11.5	Other personnel compensation.	140	153	233
	Total personnel compensation..	8,749	8,720	9,758
12.1	Civilian personnel benefits..	1,208	1,063	1.183
21.0	Travel and transportation of persons................	252	360	549
22.0	Transportation of things.....	23	54	54
23.1	Rental payments to GSA.......	1,046	1,194	1,234
23.3	Communications, utilities, and miscellaneous charges......	499	431	444
24.0	Printing and reproduction....	414	190	190
25.0	Other services..............	17,226	18,927	26,713
26.0	Supplies and materials.......	499	111	114
31.0	Equipment...................	835	706	711
99.9	Total obligations...........	30,751	31,756	40,950

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
OPERATIONS AND RESEARCH
(HIGHWAY TRUST FUND)
Personnel Summary

Identification Code: 69-8016-0-7-401	FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
Total number of full-time permanent positions........................	149	152	159
Total compensable workyears:			
Full-time equivalent employment...	159	156	162

HIGHWAY TRAFFIC SAFETY GRANTS

(LIQUIDATION OF CONTRACT AUTHORITY)

(HIGHWAY TRUST FUND)

For payment of obligations incurred carrying out the provisions of 23 U.S.C. 402, 406, and 408, and section 209 of Public Law 95-599, as amended, to remain available until expended, [$132,000,000] $105,000,000, to be derived from the Highway Trust Fund: Provided, That none of the funds in this Act shall be available for the planning or execution of programs the total obligations for which are in excess of [$115,000,000] $114,655,000 in fiscal year [1990] 1991 for "State and community highway safety grants" authorized under 23 U.S.C. 402: Provided further, That none of these funds shall be used for construction, rehabilitation or remodeling costs, or for office furnishings and fixtures for State, local, or private buildings or structures: Provided further, That none of the funds in this Act shall be available for the planning or execution of programs the total obligations for which are in excess of [$11,000,000] $10,967,000 for "Alcohol safety incentive grants" authorized under 23 U.S.C.408: Provided further, That not to exceed [$4,900,000] $5,078,000 shall be available for administering the provisions of 23 U.S.C. 402: Provided further, That notwithstanding any other provision of law, none of the funds in this Act shall be available for the planning or execution of programs authorized under section 209 of Public Law 95-599, as amended, the total obligations for which are in excess of $4,750,000 in fiscal years 1982 through [1990] 1991. (Department of Transportation and Related Agencies Appropriations Act, 1990.)

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
HIGHWAY TRAFFIC SAFETY GRANTS
(HIGHWAY TRUST FUND)
Program and Financing (in thousands of dollars)

Identification Code: 69-8020-0-7-401		FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
	Program by activities:			
	Safety formula grants:			
00.01	Grants......................	110,137	109,770	109,577
00.02	Administration.............	4,850	4,885	5,078
00.03	Alcohol safety incentive grants.....................	4,388	10,967	10,967
10.00	Total obligations..........	119,375	125,622	125,622
	Financing:			
21.49	Unobligated balance available, start of year: Contract authority..................	-183,933	-190,545	-189,159
24.40	Unobligated balance available, end of year: Contract authority..................	190,545	189,159	189,537
25.00	Unobligated balance lapsing..	13	...	...
39.00	Budget authority...........	126,000	124,236	126,000
	Budget authority:			
	Current:			
40.00	Appropriation................	130,500	132,000	105,000
40.00	Reduction pursuant to P.L. 101-164...............	...	-396	...
40.49	Portion applied to liquidate contract authority.........	-130,500	-131,604	-105,000
43.00	Appropriation (adjusted)...	...	...	...
49.00	Reduction pursuant to P.L. 99-177................	...	-1,764	...
	Permanent:			
69.10	Contract authority (96 Stat. 1740)............	126,000	126,000	126,000
	Relation of obligations to outlays:			
71.00	Obligations incurred, net....	119,375	125,622	125,622
	Obligated balance, start of year:			
72.40	Appropriation.............	62,095	50,138	56,342
72.49	Contract authority.........	84,776	73,650	67,668
	Obligated balance, end of year:			
74.40	Appropriation.............	-50,138	-56,342	-34,141
74.49	Contract authority.........	-73,650	-67,668	-88,291
90.00	Outlays....................	142,458	125,400	127,200

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
HIGHWAY TRAFFIC SAFETY GRANTS
(HIGHWAY TRUST FUND)

Program and Financing (in thousands of dollars)

Identification Code: 69-8020-0-7-401	FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
Distribution of budget authority by account:			
Safety formula grants.............	126,000	124,236	126,000
Distribution of outlays by account:			
Safety formula grants.............	137,705	117,031	116,200
Alcohol safety incentive grants...	4,753	8,000	11,000
Safety education and information..	...	369	...

Status of Unfunded Contract Authority (in thousands of dollars)

Identification Code: 69-8020-0-7-401	FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
Unfunded balance, start of year.....	268,709	264,196	256,828
Contract authority (101 Stat. 218-219)..............	126,000	126,000	126,000
Reduction pursuant to P.L. 99-177...	...	-1,764	...
Unfunded balance lapsing...........	-13	...	...
Appropriation to liquidate contract authority.......................	-130,500	-131,604	-105,000
Unfunded balance, end of year.......	264,196	256,828	277,828

DEPARTMENT OF TRANSPORTATION

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

HIGHWAY TRAFFIC SAFETY GRANTS

PROGRAM AND PERFORMANCE

1. Safety formula grants. - Grant allocations are determined on the basis of a statutory formula established under 23 U.S.C. 402. Individual States use this funding in areas which have the greatest potential for achieving safety improvements and reducing traffic crashes and fatalities. Activities are centered predominantly on efforts to control drivers impaired by alcohol and other drugs; stimulate activities to improve use of all types of occupant protection systems; improve traffic law enforcement; improve the quality of emergency medical services and trauma care systems; improve motorcycle safety; improve the collection and analysis of traffic crash data; and establish and maintain a computerized traffic recordkeeping system.

2. Alcohol safety incentive grants. - Grant allocations will be made under 23 U.S.C. 408, to those States which adopt and implement effective programs to reduce traffic safety problems resulting from persons driving while under the influence of alcohol and other drugs.

DEPARTMENT OF TRANSPORTATION
NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION
HIGHWAY TRAFFIC SAFETY GRANTS
(LIQUIDATION OF CONTRACT AUTHORITY)
(HIGHWAY TRUST FUND)
Object Classification (in thousands of dollars)

Identification Code: 69-8020-0-7-401		FY 1989 Actual	FY 1990 Estimate	FY 1991 Estimate
25.0	Other services...............	4,850	4,885	5,078
41.0	Grants, subsidies, and contributions..............	114,525	120,737	120,544
99.9	Total obligations..........	119,375	125,622	125,622

SECTION 402 FORMULA GRANT PROGRAM
(Dollars in Thousands)

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
Safety Formula Grant Program:			
Formula Grants	$110,150	$109,770	$109,577
Grant Administration	4,850	4,885	5,078
Obligation Limitation	$115,000*	$114,655	$114,655

* Includes $2.0 million set-aside to Federal Highway Administration for truck driver licensing.

GOAL The major goal of the Section 402 Program is to encourage and assist the States in the development and implementation of highway safety programs to reduce traffic crashes and the resulting deaths, injuries, and property damage.

OBJECTIVES

- Expand our emphasis on making problem identification an integral part of each State's highway safety program management process so as to insure that resources are directed at real problems. Make program evaluation an element of each program activity to ensure that we have the best current information on the success of our efforts to introduce countermeasures.
- Encourage States to make comprehensive community traffic safety programs an important part of their annual planning process. These programs should focus on highway safety as a public health issue and make maximum use of existing public health systems to deliver public information and education materials regarding all aspects of highway safety.
- Continue our efforts to revitalize public interest in the problem of DWI. In addition, the problem of drugged driving will assume an ever increasing role in State highway safety programs.
- Work to increase the protection provided by occupant protection systems to the highest possible levels. This includes educating all highway users of the benefits of using occupant protection systems, encouraging enforcement of belt laws, and providing special encouragement of high-risk, low-use groups to use protection systems.
- Continue our support of efforts to improve the efficiency and the effectiveness of traffic law enforcement agencies particularly through greater use of high technology devices to relieve officers in labor-intensive enforcement activities.
- Assist States in developing data bases which are more appropriate for the tasks of evaluating all highway safety programs, with special emphasis on data systems used to track and measure the proficiency of health care provided through emergency medical systems.

ENVIRONMENT

Within the next few years, increasing availability of sophisticated computer systems at all levels will make data acquisition, storage, analysis, and handling available on a scale heretofore unknown. This will give States significantly increased technical capability to make much more effective use of crash data in their problem identification and evaluation efforts.

Law enforcement offices across the nation will face ever reduced resources, particularly personnel. There will be an accompanying tendency to reduce the emphasis placed on traffic law enforcement. To counter these trends it will be necessary to provide relief for the labor-intensive aspects of traffic enforcement through the increased use of high tech devices to enable police officers to function more cost-effectively.

The need to deal with the drugged driving problem at the State and local level will become more acute. Training of police officers as drug recognition experts will become a major component many enforcement agencies, and the need to expand the training and evaluation of other parts of the system will become more pronounced.

The make-up of the vehicle fleet will shift to a predominance of automatic occupant protection systems as all new cars come equipped with such systems. This will result in the need for increased emphasis through public information and education materials promoting the effectiveness of automatics coupled with manual belts. Also, as older vehicles with manual systems get "handed down" it will be necessary to refocus our efforts to reach high-risk, low-use groups who have been historically very difficult to convince to become belt wearers.

OBLIGATION LIMITATION

An obligation limitation of $114.655 million is requested for the program in FY 1991. It is anticipated that the funding would enable the States to initiate efforts in the following areas:

SCHOOL BUS SAFETY

The National Academy of Sciences released an in-depth study on school bus safety in April 1989 which contains a number of recommendations for cost effective school bus safety measures. Efforts by States in FY 1991 will reflect a renewed interest in pupil transportation safety as they begin to address those recommendations which are relevant to their own particular problems. Actions taken by the States will include protecting children as they board and leave school buses, pedestrian safety education, driver training and school bus passenger protection.

ENFORCEMENT

In addition to the usual range of enforcement activities that are supported, it is planned to provide additional support and encouragement for the development, demonstration, and adoption of advanced technology devices to relieve law enforcement of much of the labor-intensive activities associated with traffic law enforcement. Typical examples of applications of such devices include the use of photo-radar for speed enforcement, photo monitoring of HOV lanes, and automatic monitoring of traffic light and sign enforcement.

DRUGGED DRIVING

Drugged driving is expected to demand increasing attention as a highway safety problem. Increased emphasis will be placed on supporting the enforcement activities of police officers, the training of prosecutors and judges, and the evaluation of overall effectiveness of the program.

OCCUPANT RESTRAINTS

Emphasis will continue on attaining the highest possible user rates for all types of restraining systems. In addition, special attention will be paid to encouraging the full and proper utilization of vehicles equipped with automatic systems. This will take the form of specially designed public information and education materials to encourage the use of automatic systems supplemented with manual belts. We will continue our efforts directed at the high-risk, low-use groups who will probably remain the operators of the vehicles with manual systems.

PROBLEM IDENTIFICATION AND EVALUATION

Problem identification and evaluation are standard elements of the State highway safety program process. In the 1991 budget we will refocus our efforts to take a fresh look at the problems identified in the States and communicate the appropriateness of the countermeasures to be employed and an evaluation of the success of efforts in previous years. With increasingly high quality and timely crash data these efforts should enable us to plan and execute a progressively more cost effective Section 402 program.

GRANT ADMINISTRATION

The following table provides a comparison of the 1990 and 1991 levels of funding for Grant Administration.

The resource levels shown below also appear in the justifications for the Highway Safety Programs, Office of the Administrator, and General Administration budget activities under the Operations and Research Appropriation.

Grant Administration Requirements
(Dollars in Thousands)

	FY 1990 APPROPRIATION		FY 1991 REQUEST	
	STAFFING	DOLLARS	STAFFING	DOLLARS
HIGHWAY SAFETY PROGRAMS				
Permanent Positions	80	$3,575	80	$3,677
Travel		76		76
TOTAL, HIGHWAY SAFETY PROGRAMS		3,651		3,753
OFFICE OF THE ADMINISTRATOR				
Permanent Positions	7	295	7	304
Travel		7		7
TOTAL, OFFICE OF THE ADMINISTRATOR		302		311
GENERAL ADMINISTRATION				
Permanent Positions	11	416	11	430
Travel		7		7
Operating Expenses		509		577
TOTAL, GENERAL ADMINISTRATION		932		1,014
SUMMARY				
Permanent Positions	98	4,286	98	4,411
Travel		90		90
Operating Expenses		509		577
TOTAL		$4,885		$5,078

SECTION 408 ALCOHOL SAFETY INCENTIVE GRANTS
(Dollars in Thousands)

	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
Alcohol Incentive Grants (Obligation Limitation)	$11,000	$10,967	$10,967

GOAL

The goal of the Section 408 grant program is to contribute to the reduction of alcohol related crashes, injuries and deaths by assisting and encouraging States to adopt DWI prevention countermeasures, of proven effectiveness, which are specified in Section 408 legislation.

OBJECTIVE

The objective for FY 1991 is to assist a minimum of two new States to qualify for basic and supplemental grant funding during the year.

ENVIRONMENT

At the end of 1989, 24 States were qualified for Section 408 incentive grants to deter drunk and drug-impaired drivers and pedestrians. As a group, Section 408 States have made more progress than non-408 States in terms of program improvements and in terms of reductions in the proportion of their fatalities that involve an intoxicated driver. The first group of States to qualify for Section 408 funding (a group of ten States) reduced the proportion of intoxicated driver-related fatalities from 30 percent in 1982 to 22 percent in 1986 (a 27 percent reduction). Section 408 has been, and continues to be, very successful in stimulating the adoption of important drunk driving legislation. For example, in the two years prior to adoption of Section 408, the States as a whole enacted an average of less than 50 alcohol related bills each years. In the six years since Section 408 was adopted, the number of enacted bills has averaged more than 150 each year.

There is clearly a strong, renewed interest by the States in this program. Evidence of this are the five new States (Illinois, Oregon, West Virginia, Oklahoma and Kansas) that qualified for Section 408 grants in FY 1988, the first States to do so since November 1985. And in FY 1989 Colorado became the latest State to qualify for Section 408 incentive grants. Connecticut and California have submitted grant applications, and these were under agency review in January 1990. Requests for preliminary review and analysis of whether or not existing legislation and administrative regulations might meet Section 408 eligibility criteria also have been received from Hawaii, Wisconsin, and American Samoa. And, NHTSA has been informed to expect an application from Florida later in 1990.

STRATEGY

This program will be implemented through continued work with State highway safety officials, and with special interest groups and national coalitions dedicated to attaining adoption of effective highway safety legislation such as prompt and sure DWI sanctions, administrative license revocation, lower illegal per se laws, self-sustaining DWI programs, sobriety checkpoints, use of preliminary breath test devices, mandatory sentencing and impoundment of vehicle license plates.

OBLIGATION LIMITATION

The requested obligation limitation of $10.967 million is based on an assessment of minimum funding to continue the Section 408 program in FY 1991, assuming that States currently eligible for funding during FY 1991 will request it, and that a minimum of two new States per year will qualify in FY 1990 and FY 1991.

HIGHWAY SAFETY EDUCATION AND INFORMATION
(Dollars in Thousands)

Obligations	FY 1989 Appropriation	FY 1990 Appropriation	FY 1991 Request
Obligation Limitation (cumulative)	$4,750	$4,750	$4,750

This education and information program was authorized under Section 209 of the Surface Transportation Assistance Act of 1978, as amended. The Act directed the Secretary of Transportation to carry out six pilot projects designed, through the use of television and radio, to develop and evaluate techniques, methods and practices to achieve maximum measurable effectiveness in reducing traffic accidents, injuries and deaths. Funds of $6 million were authorized for this purpose. An additional amount of $10 million was authorized to carry out a nationwide program to demonstrate the results of the pilot projects. All funds are contract authority.

Obligations for the pilot phase of the program were limited initially to $5 million cumulative under the 1984 DOT Appropriations Act. The appropriated level was reduced to $4.75 million pursuant to the application of rescission provisions of the Deficit Reduction Act of 1985.

Available funding has been used for the award of contracts as follows:

o Drunk Driving Project	$1,043
o Highway Safety Mass Media Youth Project	1,044
o Safety Belt/Child Safety Seat Usage Demonstration Project	947
o Public Education and Information Demonstration Project for Emergency Medical Services	929
o Public Education Demonstration Project by Law Enforcement	787
TOTAL	$4,750

In accordance with administration policy, NHTSA proposes to maintain the current cumulative obligation limitation of $4.75 million for FY 1991.

HIGHWAY TRAFFIC SAFETY GRANTS
APPROPRIATION TO LIQUIDATE CONTRACT AUTHORITY

Appropriation requested under this heading is required to liquidate obligations incurred pursuant to contract authorizations financed from the Highway Trust Fund. Encompassed programs are authorized under Sections 402, 406 and 408 of the Highway Safety Act and Section 209 of the Surface Transportation Assistance Act.

The following table provides a comparison of liquidating cash appropriation requirements for 1990 and 1991, and the relation of the appropriation to contract authorizations contained in enabling legislation.

STATUS OF UNFUNDED CONTRACT AUTHORITY
(in thousands)

	FY 1990 Enacted	FY 1991 Request
Unfunded balance, start of year	$264,196	$256,828
Contract authority:		
Safety Formula Grants (402)	126,000	126,000
Reduction pursuant to P.L. 99-177	-1,764	---
Appropriation to liquidate contract authority	-131,604	-105,000
Unfunded balance, end of year	$256,828	$277,828

U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1991

OFFICE OF THE INSPECTOR GENERAL

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

FY 1991 BUDGET ESTIMATES
DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL

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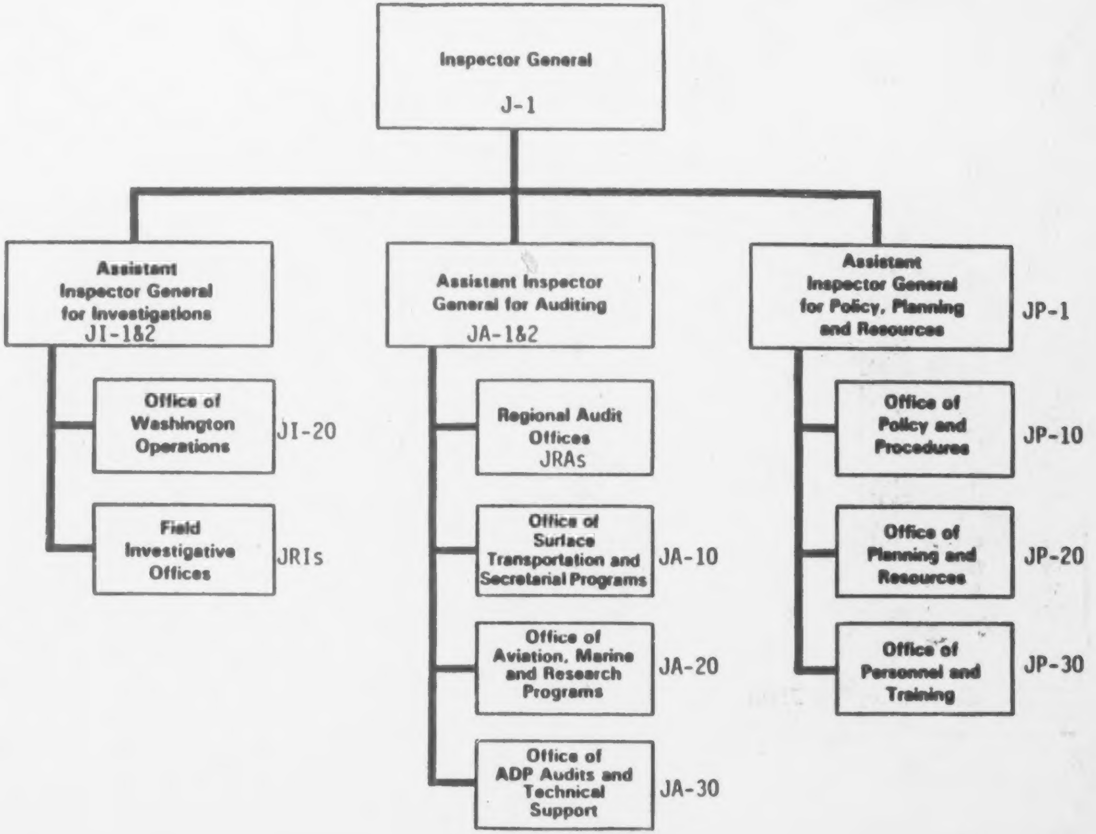
Office of Inspector General



Inspector General
J-1
Assistant Inspector General for Investigations
JI-1&2
Office of Washington Operations
JI-20
Field Investigative Offices
JRIs
Assistant Inspector General for Auditing
JA-1&2
Regional Audit Offices
JRAs
Office of Surface Transportation and Secretarial Programs
JA-10
Office of Aviation, Marine and Research Programs
JA-20
Office of ADP Audits and Technical Support
JA-30
Assistant Inspector General for Policy, Planning and Resources
JP-1
Office of Policy and Procedures
JP-10
Office of Planning and Resources
JP-20
Office of Personnel and Training
JP-30

DISTRIBUTION OF FY 1990 OIG APPROPRIATION AND FY 1991 BUDGET REQUEST BY OFFICE
($ in thousands)

S&E	FY 1990 Estimated						FY 1991 Request					
OFFICE	PC&B	TVL	Other	Total	POS	FTE	PC&B	TVL	Other	Total	POS	FTE
J	$ 139	$ 3	$ -	$ 142	2	2	$ 160	$ 3	$ -	$ 163	2	2
JA-1&2	1,130	26	2,488	3,644	17	17	1,195	31	3,354	4,580	17	17
JA-10	2,140	130	-	2,270	46	45	2,220	133	-	2,353	46	45
JA-20	2,550	197	-	2,747	46	45	2,642	202	-	2,844	46	45
JA-30	1,433	37	250	1,720	29	29	1,487	38	288	1,813	29	29
JRA-II	1,486	110	-	1,596	31	30	1,533	112	-	1,645	31	30
JRA-III	922	79	-	1,001	21	21	950	81	-	1,031	21	21
JRA-IV	1,431	175	-	1,606	33	32	1,475	179	-	1,654	33	32
JRA-V	1,034	64	-	1,098	25	25	1,066	65	-	1,131	25	25
JRA-VI	1,479	71	-	1,550	28	27	1,525	72	-	1,597	28	27
JRA-VII	1,127	159	-	1,286	21	21	1,162	162	-	1,324	21	21
JRA-IX	1,560	221	-	1,781	34	33	1,608	227	-	1,835	34	33
JRA-X	1,125	102	-	1,227	24	24	1,160	106	-	1,266	24	24
JI-1&2	340	9	-	349	7	7	373	9	-	382	7	7
JI-20	717	22	34	773	17	16	739	23	23	785	17	16
JRI-3	669	59	-	728	14	14	690	68	-	758	14	14
JRI-4	480	79	-	559	10	10	495	80	-	575	10	10
JRI-5	535	47	-	582	11	11	551	54	-	605	11	11
JRI-6	712	160	-	872	15	14	735	161	-	896	15	14
JRI-9	501	58	-	559	10	10	517	61	-	578	10	10
JP-1	127	2	-	129	2	2	147	2	-	149	2	2
JP-10	462	8	-	470	9	9	476	11	-	487	9	9
JP-20	419	3	3,770	4,192	9	9	429	5	3,971	4,405	9	9
JP-30	361	5	312	678	9	9	373	6	331	710	9	9
AICIS			120	120	-	-			421	421	-	-
	$22,879	$1,826	$6,974	$31,679	470	462	$23,708	$1,891	$8,388	$33,987	470	462

OFFICE OF THE INSPECTOR GENERAL

Federal Funds

General and special funds:

SALARIES AND EXPENSES

For necessary expenses of the Office of the Inspector General to carry out the provisions of the Inspector General Act of 1978, as amended, [$32,100,000] *$33,987,000. (Department of Transportation and Related Agencies Appropriations Act, 1990.)*

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL
Salaries and Expenses

Program and Financing (in thousands of dollars)

Identification code 69-0130-0-1-407	19 actual	19 estimate	19 estimate
Program by Activities:			
00.01 Direct program	28,902	31,678	33,987
01.01 Reimbursable program	465	100	125
10.00 Total obligations	29,367	31,778	34,112
Financing:			
11.00 Offsetting collections from Federal funds	-465	-100	-125
25.00 Unobligated balance lapsing	98	---	---
39.00 Budget authority	29,000	31,678	33,987
Budget Authority:			
40.00 Appropriation	29,000	32,100	33,987
40.00 Reduction pursuant to P.L. 99-177	---	-422	---
43.00 Appropriation (adjusted)	29,000	31,678	33,987
Relation of Obligations to Outlays:			
71.00 Obligations incurred, net	28,902	31,678	33,987
72.40 Obligated balance, start of year	2,455	2,463	4,308
74.40 Obligated balance, end of year	-2,463	-4,308	-4,622
77.00 Adjustments in expired accounts	-1,140	---	---
99.00 Outlays	27,755 *	29,832 *	33,673
* Total does not add due to rounding. (Memo cost: [illegible])	(Memo cost: [illegible])	(Memo cost: [illegible])	(Memo cost: [illegible])

GPO : 1971 O - 443-317

DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL

Salaries and Expenses
Program and Performance

This appropriation finances the cost of conducting and supervising audits and investigations relating to the programs and operations of the Department to promote economy, efficiency and effectiveness and to prevent and detect fraud and abuse in such programs and operations. It covers headquarters and field operations, general management, and administration.

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL

Object Classification (in thousands of dollars)

Identification code 69-0130-0-1-407		19 actual	19 estimate	19 estimate
Direct Obligations:				
Personnel Compensation:				
11.1	Full-time permanent	17,913	18,967	19,683
11.3	Other than full-time permanent	261	247	245
11.5	Other personnel compensation	404	542	440
11.9	Total personnel compensation	18,578	19,756	20,368
12.1	Civilian personnel benefits	3,081	3,248	3,500
13.0	Benefits for former personnel	15	15	15
21.0	Travel and transportation of persons	1,700	1,838	1,906
22.0	Transportation of things	14	31	42
23.1	Rental payment to GSA	1,675	2,000	2,112
23.2	Rental payments to others	53	68	70
23.3	Communications, utilities, and miscellaneous charges	543	570	554
24.0	Printing and reproduction	100	108	106
25.0	Other services	2,257	3,671	4,631
26.0	Supplies and materials	164	175	300
31.0	Equipment	722	195	380
42.0	Insurance claims and idemnities	0	3	3
99.0	Subtotal, direct obligations	28,902	31,678	33,987
99.0	Reimbursable obligations	465	100	125
99.9	Total obligations	29,367	31,778	34,112
(Memo cont: 21.0)		(Memo cont: 0)	(Memo cont: 0)	(Memo cont: 4.0)

GPO : 1981 O - 81-126 (6500)

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.

DEPARTMENT OF TRANSPORTATION
OFFICE OF INSPECTOR GENERAL

Salaries and Expenses
Personnel Summary

Identification code 69-0130-0-1-407	19 89 actual	19 90 estimate	19 91 estimate
Total number of full-time permanent positions	467	470	470
Total compensable workyears:			
Full-time equivalent employment	456	470	470
Full-time equivalent of overtime and holiday hours	3	3	3

DEPARTMENT OF TRANSPORTATION
OFFICE OF THE INSPECTOR GENERAL
SUMMARY STATEMENT
Salaries and Expenses

DESCRIPTION

The Inspector General Act of 1978 (P.L. 95-452) provides for the establishment of an organization to be independent and objective in conducting and supervising audits and investigations designed to: (1) promote economy, efficiency, and effectiveness and prevent fraud, waste, and abuse in Departmental programs and operations; and (2) to provide a means of keeping the Secretary of Transportation and Congress fully and currently informed of problems and deficiencies in the administration of such programs and operations.

OBJECTIVES

The Inspector General Act calls for the Office of Inspector General (OIG) to conduct, supervise, and coordinate audits and investigations relating to the programs and operations of the Department. The OIG is required to coordinate relationships between the Department of Transportation (DOT) and other Federal agencies and state and local governments with respect to their audit and investigative responsibilities.

In carrying out these responsibilities, the Inspector General (IG) exercises executive direction over the following:

Assistant Inspector General for Auditing
Assistant Inspector General for Investigations
Assistant Inspector General for Policy, Planning, and Resources

The Assistant Inspector General (AIG) for Auditing ensures compliance with the standards established by the Comptroller General of the United States, the President's Council on Integrity and Efficiency (PCIE), and other professional guidelines for all audits performed in or for the Department. The audit organization conducts the following types of audits: financial and compliance, economy and efficiency, and program results internal. Protective audits are also performed to evaluate the business management practices of smaller activities which would not receive audit coverage as part of the larger scope audits of the DOT's programs. Oversight is maintained over audit work performed by (1) independent public accountants of grantees under the Single Audit Act of 1984 and (2) the Defense Contract Audit Agency (DCAA) of contractors. Support is provided to investigations, and joint fraud prevention and detection surveys are conducted when appropriate.

The AIG for Investigations directs and controls the performance of all investigative activities under the authority of the Inspector General. These investigations involve: (1) alleged violations of fraud against the Government, false claims and statements, bribery, embezzlement, kickbacks, or other fraudulent or criminal activities affecting DOT programs, contracts, and operations; (2) alleged violations of other Federal statutes and laws pertaining to DOT grants and contracts; (3) allegations of bid rigging of Federally funded construction projects; (4) alleged improprieties on the part of Departmental employees and others in connection with DOT programs; (5) noncompliance with legislative or administrative requirements relating to DOT programs; and (6) alleged violations of DOT standards of conduct by Department employees. These investigations involve both proactive and reactive activities designed to maintain the Department's integrity and to protect its resources from fraud, waste and/or program abuse.

The AIG for Policy, Planning, and Resources develops overall OIG policy for the performance of audit, investigative, and administrative activities. This organization is responsible for: (1) reviewing and commenting on legislative and regulatory proposals of the Department as required by the IG Act; (2) performing quality assurance reviews of audit and investigative practices to ensure compliance with OIG policy and procedures and professional standards; (3) maintaining an audit followup and tracking system; (4) developing and maintaining a long-range strategic plan to ensure OIG audits address the most current transportation issues and are responsive to Departmental needs; (5) managing the OIG Management Information System (MIS) by coordinating system and data base changes between operating elements of the OIG; (6) providing program and budget formulation and execution, fiscal, and administrative support services for the OIG; and (7) providing personnel management, recruitment, classification, and staff development services.

ACCOMPLISHMENTS

During Fiscal Year (FY) 1989, the OIG issued 1,896 audit reports and made recommendations to improve the economy, efficiency, and effectiveness of DOT programs and operations with a potential impact of $696 million and questioned the eligibility of $109 million of costs. Resolution of audit reports resulted in management's commitment to seek recoveries and more effectively use resources amounting to $782 million.

For the same period, investigations resulted in 92 convictions; 119 indictments; $27 million in fines, court ordered restitutions, and administrative actions; 55 years in sentences; 119 years of probation; and 91 suspensions and debarments.

REQUEST HIGHLIGHTS

The FY 1991 request is for $33.987 million which is a net increase of $2.309 million over the $31.678 million sequestered appropriation level in FY 1990. Nondiscretionary increases of $1.487 million are attributable to: $203,000 for the annualization of the FY 1990 pay raise; $387,000 for funding of the FY 1991 pay raise (50 per cent absorption), including the senior executive service; merit pay and normal within-grade increases;

increased participation in the Federal Employees' Retirement System; continuation of the previously approved Audit and Investigation Computer Integration System (AICIS) project; additional General Accounting Office (GAO)-mandated training requirements; increased airfares; and increases for inflation. Also included is $859,000 required for a pricing increase for DCAA audit services.

Program increases of $.3 million are requested for increased travel requirements, one additional permanent change of station (PCS) move, an engineering support contract, additional phone services, and lab testing for investigative activities.

In addition, the OIG requests $25,000 for advisory and assistance services covered by OMB Circular A-120. This represents contracting for technical engineering analysis as needed for the audit and investigative services performed by OIG.

The full-time permanent position level requested for FY 1991 is 470 and 462 full-time equivalents (FTEs), the same as the FY 1990 enacted level.

More detail on these requested increases is contained in the following justifications.

Summary of Requirements
($ in thousands)

FY 90 Appropriation (P.L. 101-164)		$32,100
Amount sequestered pursuant to P.L. 99-177		-422
Budget Authority		$31,678
Personnel compensation and benefits		+864
Merit pay increases and within-grades	+242	
Annualized January 1990 pay raise	+203	
FY 1991 portion of January 1991 pay raise (50% absorption)	+387	
Real estate in conjunction with permanent change of station moves	+32	
Travel		+68
Transportation of things		+11
Rental payments to GSA		+112
Rental payments to others (nondiscretionary)		+2
Communications, utilities, and misc. charges		-16
Printing		-2
Other Services		+960
Increase of 27% in DCAA Audit Support rate	+859	
Training	+15	
PCS storage	+15	
Nondiscretionary for maintenance, WCF, etc.	+71	
Supplies		+125
ADP (AICIS)	+97	
Nondiscretionary	+28	
Equipment		+185
ADP (AICIS)	+210	
Investigative	-25	
	FY 1991 requested level	$33,987

BUDGET JUSTIFICATION

Office of Inspector General (J-1)

	1990 Estimate	1991 Estimate	Difference
Permanent Positions	2	2	-
Full-Time Equivalents	2	2	-
Personnel Compensation and Benefits	$139,000	$160,000	$+21,000
Travel Costs	3,000	3,000	-
Total	$142,000	$163,000	$+21,000

The Inspector General Act calls for the OIG to conduct, supervise, and coordinate audits and investigations relating to the programs and operations of the Department. The OIG is required to coordinate relationships between the Department of Transportation and other Federal agencies and state and local governments with respect to their audit and investigative responsibilities. In carrying out these responsibilities, the Inspector General exercises executive direction over the Assistant Inspector General for Auditing, the Assistant Inspector General for Investigations, and the Assistant Inspector General for Policy, Planning, and Resources.

Changes in Resources

No new programs or positions are requested for this office in FY 1991. The increase for personnel costs is to fully fund the on-board staff, to annualize the FY 1990 pay raise, to fund the FY 1991 pay raise, including the executive level pay raise, and for normal within-grade and merit pay increases.

OFFICE OF THE ASSISTANT INSPECTOR GENERAL FOR AUDITING
SUMMARY STATEMENT

Description

Under the authority of the Inspector General Act of 1987 and under the executive direction of the Inspector General, the Assistant Inspector General for Auditing supervises and conducts all audit activities related to DOT programs and operations. As overseer of all audit activities the AIG for Auditing ensures compliance with the standards established by the Comptroller General of the United States, the President's Council on Integrity and Efficiency, and other professional guidelines. In addition, the AIG for Auditing provides oversight of audit work performed by (1) independent public accountants, under the Single Audit Act of 1984, and (2) the Defense Contract Audit Agency of contractors. Also, support is provided to investigations when needed.

Audit Resources

A breakdown of audit full-time equivalents by office and function with narrative descriptions of each function is provided below.

Allocation of Audit Full-Time Equivalents (FTEs)
By Office and Function
FY 1991

Office	Management & Supervision	Clerical Support	Technical Support	Internal Audits	Contract Audits	Grant and Subsidy Audits	Protective and Hotline Audits	Administrative & Legislative Reviews	Total FTEs
JA-1	1	1							2
JA-2	6	2	3	-	2	2	-	-	15
JA-10	4	3		29	-	8	1	1	45
JA-20	4	3		36	-	-	1	1	46
JA-30	3	2	5	17	-	-	1	1	29
JRA-II	4	3	-	19	1	1	2	-	30
JRA-III	3	2	-	13	-	1	2	-	21
JRA-IV	4	2	-	23	-	1	2	-	32
JRA-V	3	2	-	17	-	1	2	-	25
JRA-VI	3	2	-	19	-	1	2	-	27
JRA-VII	3	2	-	13	-	1	2	-	21
JRA-IX	4	2	-	24	-	1	2	-	33
JRA-X	3	2	-	16	-	1	2	-	24
Totals	45	28	8	225	3	18	19	3	350

Management and Supervision - Senior Headquarters and field audit officials who direct the performance of all audits relating to DOT programs and operations. This includes ensuring compliance with the GAO audit standards, planning and coordinating the audit effort within DOT, and monitoring audit performance.

Clerical Support - Secretaries and clerk typists who type reports and correspondence, answer telephones, file documents, and perform other administrative duties in support of the audit mission.

Technical Support - Primarily resources involved in the management of all Automated Data Processing (ADP) and office automation hardware and software, and programming for the OIG's Management Information System. Also included are two Statistical Advisors and an Engineer Advisor. The Statistical Advisors provide consulting advice to OIG personnel on the appropriate use of statistical and mathematical techniques in the execution of audits and investigations. The Engineer Advisor acts as engineering consultant to auditors and investigators, providing expert advice and overseeing engineers detailed to or under contract with the OIG. ADP, statistical and engineering advice is used extensively in the development of audit methodology and in the evaluation of technical findings.

Internal Audits - Resources used to conduct performance and financial audits of the major programs and activities of the Department. It involves the propriety of financial operations, the evaluation of economy and efficiency of operations, and reviews of program results.

Financial related audits include determining: (1) whether financial reports and related items, such as elements, accounts, or funds are fairly presented; (2) whether financial information is presented in accordance with established or stated criteria; and (3) whether the entity has adhered to specific financial compliance requirements. A recent OIG financial and compliance audit determined that a certain state department of public works did not exercise the necessary internal controls to ensure the integrity of costs included in Federal-aid claims. The OIG found that: (1) $4 million of ineligible costs were billed to Federal Highway Administration (FHWA); (2) program income of $602,566 was not credited to FHWA in a timely manner; (3) final vouchers to close out 447 projects were not prepared promptly, resulting in $15.2 million of Federal funds not being effectively used; and (4) the state had inadequate controls to limit construction engineering billings to the maximum allowable of 15 percent of construction costs, thereby requiring a credit to FHWA of $887,695. In addition, FHWA incurred an additional $709,718 of interest costs associated with these weaknesses.

FHWA agreed with the report and obtained all necessary credits with the exception of those related to the excess construction engineering billings which are currently being analyzed by FHWA. Appropriate credits will be obtained in the near future. In addition, FHWA is currently working with the state to develop adequate procedures which comply with applicable financial management standards. (Report No. R2-FH-9-181)

Economy and efficiency audits include determining: (1) whether the entity is acquiring, protecting, and using its resources (such as personnel, property, and space) economically and efficiently; (2) the causes of inefficiencies or uneconomical practices; and (3) whether the entity has complied with laws and regulations concerning matters of economy and efficiency. For example, an OIG audit identified that computer timesharing services were costly under the Working Capital Fund (WCF). The OIG found that computer timesharing services did not meet the criteria for continued retention in the WCF because these services were not being provided economically and efficiently. The number of users decreased from 49 in FY 1987 to 36 in FY 1988 while over the same period the overhead rate rose from 8 percent to 28 percent of total billings. Consequently, the OIG recommended that alternatives be developed to lower costs or to obtain these services through other means.

The Assistant Secretary for Administration concurred with the findings and recommendations. Management is assessing the best way to implement the recommendations which will achieve the lowering of the WCF costs while preserving continuity in existing contracts and permitting new ones to be put in place. Management indicated that because of the complex issues involved, a timetable would be developed and provided to the OIG for implementing the recommendations. (Report No. AS-OT-9-014)

Program audits include determining: (1) the extent to which the desired results or benefits established by the legislature or other authorizing body are being achieved; (2) the effectiveness of organizations, programs, activities, or functions; and (3) whether the entity has complied with laws and regulations applicable to the program. For instance, a recent OIG audit disclosed that some state Federal Highway Administrations were not adequately controlling and administering their Disadvantaged and Women's Business Enterprise (D/WBE) Program.

A review of the states' D/WBE Programs in FHWA Region 6 showed that: (1) 15 ineligible D/WBE's in two states received 188 contract commitments totaling $10.9 million during 1987 and 1988; (2) four of a state's nearly 200 D/WBEs received 51 percent of all D/WBE contract payments, and a firm in one state received contracts of $15.3 million, or 13 percent of all 1988 commitments; (3) prime contractors received program credit of $15 million on nine projects in one state and about $700,000 on three projects in another state for work that was not actually performed by D/WBEs; and (4) a state agency fell short of its 10-percent D/WBE participation goal in 1988 and another state would also fall short if reported accomplishments were adjusted for contractor abuses.

The OIG recommended that FHWA Region 6 pursue a more comprehensive approach in the enforcement of D/WBE program responsibilities. The FHWA region should notify the states of areas where improvements should be made in the program's administration and initiate enforcement action when a state does not assume its responsibilities. The FHWA officials generally concurred with the findings and identified actions on a regional level to address the audit recommendations. In its response, however, the FHWA regional office noted that the lack of regulatory authority and delegation of authority to the field, as well as problems stemming from the law itself, affected the region's ability to effectively manage the D/WBE program. (Report No. R6-FH-9-144)

Contract Audits - These audits are performed to advise the Department's contracting officers whether contractors' costs, either actual or estimated, are fairly presented. To this end, the auditor determines if contractors have followed applicable Federal regulations and cost accounting standards in pricing goods or services that are being procured by the DOT. Although the OIG has responsibility for all contract audit services required by DOT procurement offices, most of this contract work is accomplished by DCAA under a reimbursable agreement. Following OIG's review and summarization of audit results, these audit reports are issued to the appropriate procurement office in DOT.

During FY 1989, these audits recommended reductions of $253.7 million from contractor proposals and $27.2 million from contractor-claimed incurred costs.

Grant and Subsidy Audits - Under the provisions of the Single Audit Act of 1984 (P.L. 98-502), any state or local government grantee that receives $100,000 or more a year in Federal funds is required to have an audit by an independent auditor. The Act mandates that the audit cover the entire financial and compliance operations of the organization. Resources are used to provide technical advice to grantees and their independent auditors to ensure that audits are accomplished in accordance with established performance and reporting standards. OIG oversight is carried out through desk reviews of the audit reports and quality control reviews (QCR) of the audit work performed. A desk review is an evaluation of an audit report to determine if it meets the requirements of Office of Management and Budget (OMB) Circular A-128 and the reporting standards issued by the Comptroller General of the United States. A QCR is a review of the independent auditor's working papers supporting an individual audit to determine whether the audit work meets the requirements of OMB Circular A-128 and the standards for working paper preparation issued by the Comptroller General. The DOT provides grants totaling more than $17 billion annually to about 2,800 recipients. The OIG is the cognizant Federal agency for 894 recipients of Federal aid. Federal cognizant responsibility for the remainder of DOT's federal-aid recipients is primarily assigned to the Department of Health and Human Services and the Department of Housing and Urban Development. During FY 1989, the OIG issued a total of 1,279 grantee audit reports with $38.3 million of questioned and unsupported costs.

Resources are also used in support of the Maritime Administration (MARAD) Operating Differential Subsidy Program and subsidy audits related to claims made by air carriers for OST's Essential Air Service (EAS) program. EAS claims are for subsidized scheduled air service to eligible small communities that would not otherwise be served by air carriers as a result of airline deregulation.

Protective Audits - Protective audits are used to assess the administrative management practices at smaller DOT facilities. Audits of this type normally include a review of travel activities, use of Government vehicles, control over DOT property, small purchases, imprest funds, timekeeping and payroll, and other activities of an administrative nature. Historically, these small facilities have received little or no audit coverage because they do not fall under larger scope audits of Departmental activities and programs. Although these audits do not produce large dollar benefits, they have identified many internal control weaknesses that have resulted in missing equipment and property, misuse of Government benefits, loss of Government funds, and improper small purchases. The OIG recently issued three reports to the Federal Aviation Administration (FAA), United States Coast Guard (USCG) and FHWA summarizing the results of 145 individual protective audit reports issued over the last two years. These reports cited deficiencies that occurred with enough frequency to warrant Headquarters attention and corrective action. Additionally, the OIG is currently conducting more comprehensive audits incorporating areas where recurring deficiencies have been identified in protective audits.

Hotline Complaints - Audit resources are used to verify allegations of fraud, waste, abuse, and mismanagement relating to DOT programs that are submitted to the DOT hotline. In FY 1989, the audit staff responded to over 40 hotline complaints. These complaints involved (1) waste of government funds on contracts, (2) improper use of nonappropriated funds, (3) mismanagement and personnel improprieties, and (4) misuse of government resources.

Administrative and Legislative Reviews - Audit staff time that is spent researching, analyzing, and commenting on policies, legislation, and regulations is included in this category. During FY 1989, 254 proposed rules, regulations, and legislative actions were referred to the Assistant Inspector General for Auditing for analysis and comment. For example, as the result of our review of a Departmental Bill on National Driver Register (NDR) access for the U.S. Coast Guard, the OIG recommended that the proposal needed to be modified to: (1) provide access to the NDR for employers and potential employers of merchant mariners (airmen also); and (2) confirm the IG's authority to have access to NDR information.

On another occasion, the OIG reviewed the proposed Federal Railroad Administration (FRA) rulemaking on Qualifications for Locomotive Operators and generally concurred with the notice. The OIG suggested several revisions in order to strengthen control over operators' certificates, such as numbering of certificates, inclusion of an expiration date, and physical description data on the operators.

Use of Internal Audit Resources

As shown in the previous schedule, 225 FTEs will be devoted to internal audits in FY 1991. The following provides a breakdown of this internal audit workload by audit office and Modal Administration.

Internal Audit Workload
FY 1991 Budget

Office	FAA	USCG	FHWA	UMTA	OST*	MARAD	NHTSA	FRA	RSPA	SLSDC	Total FTEs
JA-10	-	-	6	0	20	-	1	1	-	-	28
JA-20	10	12	-	-	8	4	-	-	2	-	36
JA-30	5	0	2	0	10	-	0	-	0	-	17
JRA-II	4	2	4	7	-	1	-	0	0	1	19
JRA-III	0	7	2	4	-	-	0	-	-	-	13
JRA-IV	10	3	10	0	-	0	0	-	0	-	23
JRA-V	4	3	5	4	-	-	1	-	-	-	17
JRA-VI	14	5	0	0	-	-	-	-	-	-	19
JRA-VII	3	1	5	3	-	-	-	1	-	-	13
JRA-IX	3	5	8	6	-	2	-	-	-	-	24
JRA-X	1	7	5	3	-	-	-	-	-	-	16
	54	45	47	27	38	7	2	2	2	1	225

* Includes departmentwide audits

Office of the Assistant Inspector General for Auditing (JA-1 & JA-2)

Budget data for the Office of the Assistant Inspector General for Auditing (JA-1) and the Deputy Assistant Inspector General for Auditing (JA-2) are as follows:

	1990 Estimate	1991 Estimate	Difference
Permanent Positions	17	17	-0-
Full-Time Equivalents	17	17	-0-
Personnel Compensation and Benefits	$1,130,000	$1,195,000	$+ 65,000
Travel Costs	26,000	31,000	+5,000
Other Costs			
DCAA (Audit Service)	2,440,000	3,299,000	+859,000
DHHS(Audit Service)	29,000	30,000	+1,000
Engineering Consulting Service	19,000	25,000	+6,000
Subtotal Other Costs	2,488,000	3,354,000	+366,000
Total	$3,644,000	$4,580,000	$+936,000

The Assistant and Deputy Assistant Inspector General for Auditing manage, supervise, and direct all audit activities. The staff within this office has responsibility for oversight of the Headquarters and field office operations, contract audits, A-128 Single Audit policies, statistical and engineering support, and other administrative tasks required within the audit organization.

Change in Resources

No new programs or positions are requested for this office in FY 1991. The increase for personnel costs is to fully fund the on-board staff, to annualize the FY 1990 pay raise, to fund the FY 1991 pay raise, including the senior executive service pay raise, and for normal within-grade and merit pay increases.

An increase of $5,000 is requested for travel. This increase is needed to support our expanded quality assurance program. This program encompasses several organizational elements in the OIG to assure that high quality audits and investigations are performed in the DOT. JA-2 is responsible for conducting sufficient secondary reviews to assure the quality of audits performed by the Headquarters, regions, and suboffices. This quality assurance program was mandated by GAO's revised "Government Auditing Standards." We are statutorily required to comply with these standards.

Much of the work in DOT involves engineering skills. In response to a demonstrated need for audit and investigations in the technical areas of the Department, the OIG has expanded and improved its capability for timely and independent engineering support. In addition to the engineer presently assigned to our Headquarters staff, the OIG has two engineering support service contracts. These contracts, for which $25,000 is requested, provide the OIG the capability to respond to a continuing need for technical engineering analysis.

Audit costs for DCAA are expected to increase in FY 1991 because of a 27 percent raise in prices even though the number of DCAA audits completed is expected to decrease. This decrease in the number of completed audits is primarily due to a recent change in the Transportation Acquisition Regulations concerning contract closeouts. This change permits contracting officers to close out contracts whose total is $1 million or less instead of the previous $500 thousand limitation. We will continue to use OIG resources for the audits of contractors where the DCAA does not provide coverage for other Federal Departments. However, 95 percent of the contract audits requested will be performed by DCAA. DCAA audit requirements for FY 1991 were calculated using Modal estimates of the support required.

Accomplishments

In addition to fulfilling its coordinator and facilitator role, this office acts as a quality control element for audit activity in the OIG. It accomplishes this function by reviewing selected audit reports and working papers to ensure that OIG's audits are conducted in accordance with Government Audit Standards. As a part of OIG's quality assurance program, members of this staff made eight on-site visits to Headquarters and regional offices in FY 1989. An additional 11 visits are planned for FY 1990 to review and make recommendations for improving audit operations. Technical support to audits has been expanded by the full integration of two statistical advisors and one engineer into the audit planning and performance cycle. Statistical support to Modalwide and Departmentwide audits has significantly enhanced the value of these assessments to DOT management.

This office is also a focal point for single and contract audit activity in the OIG. The staff monitors and reviews these audits to determine if they are in compliance with applicable policies and procedures. During FY 1989, the OIG improved the process by electronically accessing the Single Audit Clearinghouse at the Bureau of the Census to ensure that all DOT grantees comply with the single audit requirements.

Based on a recent initiative to determine the extent to which DOT's contracting officials use preaward audits, this office is currently conducting an analysis of price negotiation memoranda for contracts awarded. The results of this review will be used to evaluate the disposition of OIG's contract audit reports. In addition to these and many other technical responsibilities, this office performs a multitude of administrative duties ranging from hosting intern/new employee orientation programs to responding to numerous inquiries from the public and private sector concerning audit activity in the DOT.

Office of Surface Transportation and Secretarial Programs (JA-10)

	1990 Estimate	1991 Estimate	Difference
Permanent Positions	46	46	-
Full-time Equivalents	45	45	-
Personnel Compensation and Benefits	$2,140,000	$2,220,000	$+80,000
Travel Costs	130,000	133,000	+3,000
Total	$2,270,000	$2,353,000	$+83,000

Supervises and conducts the performance of auditing activities relating to Federal Highway Administration, National Highway Traffic Safety Administration (NHTSA), Federal Railroad Administration, Urban Mass Transportation Administration (UMTA), Office of the Secretary of Transportation (OST) programs and operations, and Essential Air Service subsidies for air carriers.

Change in Resources

No new programs or positions are requested for this office in FY 1991. The increase for personnel costs is to fully fund the on-board staff, to annualize the FY 1990 pay raise, to fund the FY 1991 pay raise, including the senior executive service pay raise, and for normal within-grade and merit pay increases. The increase in travel is for anticipated fare increases and additional audit travel requirements.

Audit Emphasis

Federal Highway Administration

Prior audit coverage has been directed primarily to reviewing FHWA's management and administration of construction activities related to the Federal-aid Highway Program. Audit reviews have been made of Federal-aid project fund management, states' contracting programs and inspection of highway construction activities. Audits have also been made over FHWA's National Bridge Inspection Program, Vehicle Weight Enforcement Program, Highway Research Program, and the Direct Federal Program. Significant impacts identified in prior audits include the untimely release of excess project funds for reprogramming to other highway transportation needs, acceptance of nonconforming asphalt materials to construct Federal-aid highways, and untimely identification and disposal of unused highway rights-of-way. In other audits, states did not perform adequate bridge inspections or post weight limits according to national standards, and did not have adequate plans to curb overweight vehicles on Federal-aid highways.

Future audit emphasis in FHWA will continue to concentrate on evaluating FHWA's management and administration of the Federal-aid Highway Program. Audits will focus on those program areas where improved controls can achieve more effective use of Federal funds. Primary audit emphasis will be given to reviews of FHWA's monitoring of highway design and construction activities, financial management systems of state highway agencies, and administration of construction contracts. Audit priority will also be given to performing periodic reviews of FHWA's management of the National Bridge Inspection Program in accordance with a safety recommendation made by the National Transportation Safety Board.

National Highway Traffic Safety Administration

Prior audits in NHTSA have concentrated on reviews of the management and administration of the Highway Traffic Safety Grant Program with particular audit emphasis given to the priority highway safety programs for which funds were made available. Audits of administrative and support activities have been made primarily of controls over procurement and contracting, including reviews of contract closeout procedures and property management systems used to account for test vehicles and other types of property. Audits have also been performed over NHTSA's management of enforcement programs such as the odometer enforcement program. Significant impacts of conditions identified in prior audits include the untimely deobligation and reprogramming of unused funds on completed contracts and grants and inadequate management systems over contractor-held and grantee-held property.

Audit emphasis will continue to be directed to evaluating grant management activities related to the Highway Safety Grant Program. Also, audit consideration will be given to reviewing the research programs and other highway traffic and vehicle safety-related programs.

Federal Railroad Administration

Prior audit coverage has been directed toward the areas of regulation development and management of the local rail service assistance program.

Because of the nature of the Amtrak assistance, audit coverage of Amtrak will continue to be in response to specific requests. Program audit coverage will focus on overall administration and on the management of the Rail Safety Enforcement Program.

Urban Mass Transportation Administration

Prior audit coverage has focused primarily on the UMTA grant award and grant administration processes. This has included UMTA's policy for funding grantee replacement bus purchases; policy and oversight of grantees' use of UMTA-funded buses and monitoring of grantee financial management practices; efforts to develop a grants management information system and major grantees use of value engineering techniques.

Future audit coverage will focus on identifying areas where UMTA can achieve more effective use of grant resources. Because most transit operators incur expenses substantially in excess of the amount of operating assistance grant funds received, audits in this area are not a priority. Rather, our program audit coverage will continue to emphasize coverage of award and monitoring of capital grants. This emphasis will include continued coverage of UMTA's grant award and administration activities, fund control, and grantee procurement and financial and property management activities. We will also continue to provide project by project coverage of UMTA's construction contract administration activities, including that performed by construction management contractors.

Office of the Secretary of Transportation

OST policy areas covering Departmentwide functions such as procurement and finance and accounting have been given much audit coverage. We led the PCIE review of contract modifications and participated in PCIE reviews of Loan Guarantees, Prompt Pay, "M" Accounts, and the A-76 Program. In addition, audit coverage was given to Contract Closeouts, Permanent Change of Station relocation, and Working Capital Fund service areas. In response to questions from the House Transportation Appropriations Subcommittee, we evaluated controls over awarding contracts to suspended and debarred contractors. Also, an audit was performed at the request of the Senate Transportation Appropriations Committee to evaluate certain aspects of the Aircraft Loan Guarantee Program. Audits have also covered yearend spending activities and EAS subsidies to air carriers.

Future audit emphasis will continue to be placed on procurement areas and cash management issues as well as internal control issues particularly related to the Federal Managers' Financial Integrity Act (FMFIA).

Accomplishments

During FY 1989, this office issued 16 internal reports, three EAS reports, and one cost proposal audit report disclosing $15.2 million in either potential operating cost deficiencies or questioned eligibility. A brief description of three audits issued during this period follows.

The office led a PCIE review of contract modifications which resulted in issuing a report to the Office of Federal Procurement Policy (OFPP). The review identified three recurring compliance problems requiring greater attention. First, contract files supporting modifications were generally not adequate to show that contracting actions were complete; second, contract modifications were not always definitized in the shortest practicable time; and third, contract options were generally exercised automatically without evaluating the current market to determine if the option conditions and prices are the most cost efficient or in the best interest of the Government. OFPP was receptive to the recommendations and issued a memorandum to Federal agency procurement executives describing the three finding areas and requesting that each procurement executive review their procurement systems and take appropriate action. (Report No. AS-PC-9-001)

An audit of the Controls Over Development of Project Cost Estimates and Designs in FHWA's Direct Federal Program revealed that FHWA had established generally adequate controls over the process for developing cost estimates. However, the audit found that improved cost estimating procedures were needed to ensure that reliable estimates were developed and effectively used in evaluating the reasonableness of contractors' bids. The audit also showed that 58 percent of Direct Federal Construction Funds were awarded in the fourth quarter. We estimated that lower contract prices of $10.2 million may have been achieved through improved development and use of project cost estimates and reduced fourth quarter contracting. FHWA generally concurred with the audit findings and recommendations but did not agree with the monetary amounts cited in the report. While we believe that the methods we used to develop our estimate of lower contract prices were reasonable, we agree that for purposes of identifying savings, no definitive method exists for predicting actual amounts of future lower contract prices. (Report No. AS-FH-9-010)

An audit of an EAS carrier's Application for Compensation for Losses (claim) found that the carrier overstated its losses for providing hold-in service at Hot Springs, El Dorado, and Texarkana, Arkansas, by $565,800. The carrier's claim included the use of inappropriate methodologies to assign certain direct expenses between aircraft types and to allocate indirect expenses to the hold-in subsidy. The carrier also understated EAS passenger revenues and included extraordinary maintenance expenses recorded in 1985 to bring aircraft acquired in a merger up to necessary airworthiness standards. We adjusted the carrier's claimed maintenance costs to reflect a more normalized level of maintenance activity. OST officials are pursuing settlement of the claim with the carrier. (Report No. AS-OT-9-200)

Office of Aviation, Marine, and Research Programs (JA-20)

	1990 Estimate	1991 Estimate	Difference
Permanent Positions	46	46	-
Full-Time Equivalents	45	45	-
Personnel Compensation and Benefits	$2,550,000	$2,642,000	$+92,000
Travel Costs	197,000	202,000	+5,000
Total	$2,747,000	$2,844,000	$+97,000

Supervises and conducts the performance of auditing activities relating to Federal Aviation Administration, United States Coast Guard, Maritime Administration, and Research and Special Programs Administration (RSPA).

Change in Resources

No new programs or positions are requested for this office in FY 1991. The increase for personnel costs is to fully fund the on-board staff, to annualize the FY 1990 pay raise, to fund the FY 1991 pay raise, including the senior executive service pay raise, and for normal within-grade and merit pay increases. The increase in travel is to provide for anticipated fare increases and additional audit travel requirements.

Audit Emphasis

Federal Aviation Administration

Prior audit coverage was directed toward such areas as contract administration, security of facilities, property management and utilization, personnel utilization, and the Congressionally required review of the management and use of contracted advisory and assistance services. Additionally, the National Airspace System (NAS) Plan audits focused on planning, management, and execution of major NAS Plan projects. Recommendations from prior audits resulted in improvements to the utilization of property and personnel, and in improvements to NAS Plan program acquisitions such as the Microwave Landing System.

Future audit emphasis in FAA will continue to focus on operational and NAS Plan programs to improve the controls, planning, and use of FAA resources and Federal funds. Operational audits will cover the leasing of aircraft, controller training, and the use of technical support contractors. Audits of NAS Plan projects will include reviews of the National Radio Communications System and Computer Based Instruction projects.

United States Coast Guard

Prior audit reports provided coverage of U.S. Coast Guard operating, supply and maintenance programs, user fees, aircraft performance, Superfund, and such administrative activities as the management and use of contracted advisory and assistance services as required by Congress. Selected audits of major Coast Guard procurements have also been performed.

Ongoing and future audits in the Coast Guard will continue to provide broad coverage in selected aspects of the drug interdiction/interception program, aircraft performance and utilization, environmental compliance, implementation of OMB Circular A-76, and the Reserve training program. Superfund will be reviewed annually, as required by legislation. Audits are also planned of non-Federal health care providers, controls over prescription and controlled substances, Coast Guard's use of value engineering, vessel staffing, and the 378-foot cutter weapons system modernization.

Maritime Administration

Prior audit emphasis has been in the program management and administrative areas. We reviewed the Operating Differential Subsidy and Title XI vessel programs. Additionally, we reviewed such administrative areas as reimbursable agreements, contract administration, and the Congressionally required review of the management and use of contracted advisory and assistance services.

Future audits will cover insurance programs, the maintenance and repair of State Academy training vessels, personnel security investigations, personal property at the Merchant Marine Academy, and Ready Reserve Force fleet additions.

Research and Special Programs Administration

Prior audit emphasis has been on the management of inspections, and the assessment of fines and penalties that result from violations of Federal regulations. In the administrative areas, we reviewed the management and use of contracted advisory and assistance services as required by Congress.

Future audits will include reviews of the Aviation Information Management Program, the Container Packaging Exemption Program, inspection priorities, and personnel security investigations.

Special Reviews

We will perform the Congressionally required annual reviews of the management and use of contracted advisory and assistance services in all nine Modal Administrations and the Office of the Secretary (OST).

Accomplishments

During FY 1989, this office issued 38 internal reports and made recommendations to improve the economy, efficiency, and effectiveness of DOT programs and operations with a potential impact of $345 million. A brief description of four of the audits issued in FY 1989 follows.

Our audit of FAA's requirements for and utilization of aircraft showed that: (1) FAA aircraft and flight hours assigned to the evaluation, currency, and transportation mission were not effectively utilized; (2) flights taken by FAA officials for the primary purpose of transportation could have been accomplished more economically on commercial transportation; (3) flight training and related aircraft rentals were contracted for unnecessarily; and (4) job-related recurrent flight training needs of FAA inspectors were not fully met. About $1.2 million could have been utilized more effectively in providing necessary flight hours to personnel with a critical job-related requirement to fly. FAA could have saved $164,000 if agency officials had used more economical commercial transportation. The FAA Academy plans to spend about $3.7 million in the next three fiscal years on an aircraft rental to be used for training. This aircraft is equipped with an electronic flight instrument system which is not required for the training. In addition, FAA currently has aircraft in its fleet that can be used for the training instead of the planned rental aircraft. A copy of the report was forwarded to the Office of the Secretary because we believe items (1) and (2) have sufficient potential for adverse publicity to the Department that they can be considered material internal control weaknesses under the provisions of OMB Circular A-123. In response to the audit report, FAA did not concur with four recommendations. The major areas of nonconcurence are the planned aircraft rental for training purposes, the increased effectiveness in the use of funds for flight training ($1.2 million), and savings to be realized by using more economical commercial transportation ($164,000). We are in the process of resolving these issues with FAA. (Report No. AV-FA-9-025)

On March 17, 1989, we reported that USCG's planning for the Motor Lifeboat (MLB) Replacement Program did not fully explore the possibility of off-the-shelf procurement. Moreover, USCG had not adequately justified the specification of a 25-knot speed capability, which represented a significant increase over existing capabilities, and minimized the opportunity for off-the-shelf procurement. We also found inherent technological risks in USCG designs for development of a new boat, and concluded that thorough testing and cost monitoring and containment procedures are needed to ensure that the MLB prototype and preproduction vessels fully meet operational and design requirements and construction costs do not escalate. USCG agreed with our findings and recommendations, except for the recommendation that the 25-knot speed requirement be reassessed. USCG responded to the final audit report but did not address the OIG recommendation to assess the cost/benefit of the 25-knot speed requirement. Instead, they restated why USCG wants an MLB replacement capable of 25 knots. We are in the process of resolving this issue with USCG. (Report No. AV-CG-9-016)

In its report on the Department of Transportation and Related Agencies Appropriations Bill for FY 1990, the House Subcommittee on the Department of Transportation and Related Agencies Appropriations directed that only $825,000 of the $5.8 million appropriated for construction of the MLBs may be made available to USCG until the Inspector General certifies to the House and Senate Subcommittees that all design problems discussed in our report have been addressed in the prototype operation, test, and evaluation process. (House Report 101-183)

We found that a significant amount of user charges could be generated if FAA would establish user charges for special services provided to aircraft manufacturers, air carriers, and air agencies. Potentially, user charges could be used to offset the cost of these services which totaled $204.5 million in FY 1987. Also, the Airmen and Aircraft Registry was not fully recovering the cost of providing services to recipients. As a result, the Registry incurred costs of about $2.7 million in FY 1987 that should have been offset by user charges. FAA agreed to update existing user charges to cover inflation. Regarding the establishment of new user charges, however, FAA advised that during the annual budget process, the Department establishes how much of the funding will be paid from the Airport and Airway Trust Fund, which is a de facto user charge. OST's position on the establishment of new user charges is that aviation taxes collected in the Airport and Airway Trust Fund are sufficient to meet the capital and much of the operating costs of the FAA. For this reason, no increases to aviation user charges are proposed at this time. (Report. No. AV-FA-9-004)

USCG has not been fully successful in ensuring that they receive proper reimbursement of drug interdiction expenses from the Customs Forfeiture Fund. Two USCG districts have submitted claims of $2.4 million, of which the Customs Service reimbursed USCG only $300,000. Without an agreement and established policies, there have been limited efforts, until recently, to determine which USCG expenses are reimbursable and to establish the procedures for seeking reimbursement. In FY 1987, the Customs Service transferred about $52 million from the Forfeiture Fund to the Treasury General Fund without fully reimbursing the USCG for claimed expenses. The USCG concurred with our recommendations and has agreed to (1) prepare a Memorandum of Understanding to clearly outline an expeditious claims procedure and (2) prepare instructions for appropriate units to document seizure costs and bill the Forfeiture Fund. The Customs Service has assured the USCG that the $1.4 million outstanding reimbursement claims previously submitted by the Seventh District will be paid. (Report No. AV-CG-9-015)

Office of ADP Audits and Technical Support (JA-30)

	1990 Estimate	1991 Estimate	Difference
Permanent Positions	29	29	-
Full-Time Equivalents	29	29	-
Personnel Compensation and Benefits	$1,433,000	$1,487,000	$+54,000
Travel Costs	37,000	38,000	+1,000
Subtotal	$1,470,000	$1,525,000	$+55,000

Basic Operational ADP Costs

	FY 1990 Estimate	FY 1991 Estimate	Difference
Leases (Software)			
9375-60 Minicomputer (IBM)	$38,000	40,000	
Focus (Minicomputer)	25,000	25,000	
Subtotal leases	63,000	65,000	+2,000
Maintenance			
Hardware			
9375-60 Minicomputer	30,000	30,000	
Automated Office Equipment	45,000	73,000	
Software			
VM-Center (Minicomputer)	8,800	10,000	
SAS (Minicomputer)	4,000	10,000	
Dylakor (Minicomputer)	16,000	16,000	
Simtrans & Master (Mini-Micros)	2,000	3,000	
PC Focus (Micros)	7,000	8,000	
AEX2 (TCC & MMDC)	9,600	12,000	
Grid	10,200	0	
Hewlett-Packard	1,500	1,500	
Subtotal Maintenance	134,100	163,500	+29,400
Supplies	52,500	59,000	+6,500
Subtotal Basic Operational ADP Costs	249,600	287,500	+37,900
Total	$1,719,600	$1,812,500	$+92,900

AICIS ADP Project Costs *

	FY 1990 Estimated	FY 1991 Estimated	Difference
Hardware Purchase			
Microcomputers	$120,000	$205,000	
Minicomputer upgrades	-0	65,000	
Local Area Networks	-0	60,000	
Subtotal Hardware Purchases	$120,000	$330,000	$+210,000
Software Purchase			
Micro	-0	$61,000	
Mini	-0	30,000	
LAN	0	0	
Subtotal Software Purchases	-0	91,000	+91,000
Total AICIS ADP Costs	$120,000	$421,000	$+301,000

* See AICIS Attachment for details.

Supervises and conducts the performance of ADP auditing activities within the Department of Transportation and provides technical ADP support to all OIG components.

Change in Resources

The increase for personnel costs is to fully fund the on-board staff, to annualize the FY 1990 pay raise, to fund the FY 1991 pay raise, including the senior executive service pay raise, and for normal within-grade and merit pay increases. The increase in travel is to provide for anticipated fare increases and additional audit travel requirements. The $37,900 increase in non-AICIS ADP costs includes $2,000 for software leases, $29,400 for hardware and software maintenance, and $6,500 for ADP supplies. Software leases are expected to increase because we will upgrade our central processing unit (CPU) on the OIG minicomputer. Since lease costs are based on the size of the CPU, higher costs are anticipated. Maintenance will increase in FY 1991 because much of the equipment will no longer be covered by original warranty and maintenance will have to be acquired separately. The increase in supplies is for normal inflation.

For an explanation of the cost increases for the AICIS project, see the AICIS attachment.

Audit Emphasis

Audit activities will continue to focus on the integrity and security of computer systems in the Department and Governmentwide. Work completed in this area during FY 1989 reflects a comprehensive view of computer systems integrity and security. That comprehensive view is presented both in the reports of audit results at DOT and in the consolidated PCIE Computer Systems Integrity Project report summarizing the results of major audits at 10 Federal agencies. This comprehensive view will continue to be employed when conducting future audits of a wide range of automated information systems resources, activities, and functions, both within the Department and Governmentwide.

Past audits have concentrated either on (1) protection of information resources from unauthorized access and/or disclosure, (2) information accuracy/integrity, or (3) system reliability/availability. OMB considers these three areas to be the major components of computer systems integrity and security, as does DOT's revised (August 2, 1989) computer security order, and continued emphasis will be given to them in future work. During FY 1989, we reported on our assessment of general automated information system controls and microcomputer management at USCG Headquarters. In addition, we prepared the consolidated PCIE report summarizing the results of system software controls audits performed at nine other Federal agencies as part of the PCIE Computer Systems Integrity Project. Similar audits of these controls and physical protection controls are either underway or planned for three major Departmental data centers. Further, during FY 1990 we plan to conduct an audit of the Department's compliance with the Computer Security Act of 1987.

Regarding information accuracy/integrity, a JA-30 audit report issued in late FY 1989 discussed program policy weaknesses that contributed to problems with the accuracy and currency of data in FAA's Enforcement Information System. The office also issued an audit report on FAA's procedures for controlling changes to the Department's automated payroll system, and we are planning a similar Departmentwide change controls audit for FY 1990. In addition, we are currently completing major data integrity audits of the payroll system, RSPA's automated Aviation Consumer Information System, and the Department's automated Contract Information System (CIS). A draft report on the CIS audit was issued in early August 1989. That audit has provided a valuable basis for leading the third phase of the PCIE Computer Systems Integrity Project--assessing the integrity of data in seven of the individual agency contract tracking systems which provide input to General Service Administration's (GSA) Federal Procurement Data System. Work on this major project is nearing completion. Similar data integrity audits are being planned for several major automated DOT systems, including FHWA's Fiscal Management Information System and USCG's Marine Safety Information System.

Threats to system reliability/availability were discussed in a July 1989 hotline audit report dealing with alleged mismanagement of computer equipment in USCG's Marine Safety Center. However, the approach to auditing system reliability/availability has continued to focus primarily on how well this issue has been addressed during the design and testing of major new Departmental automated information systems. A major system development life cycle review of UMTA's Grants Management Information System development project recently produced a report on the agency's assessment of project costs and benefits, and the remaining segments of this audit (including a major segment on UMTA's system testing practices) are currently being completed. An audit of OST's efforts to develop a Departmental Accounting and Financial Information System is also planned for FY 1990. In addition, a planned audit of DOT-wide implementation of the Federal Telecommunications System (FTS) 2000 project will include coverage of the reliability/availability issue, as will planned audits of two major ADP procurements. These procurement audits will cover the DOT-wide Office Automation Technology and Services Project (costing up to $854 million over 8 years), and FAA's Realtime Weather Processor acquisition (costing up to $250 million over 7 years).

Accomplishments

During FY 1989, JA-30 issued five internal reports containing 19 recommendations to improve internal controls over DOT automated information system activities. Two of these internal reports identified material internal control weaknesses. In addition, a PCIE audit report was issued, identifying very significant computer system integrity weaknesses and making eight major Governmentwide recommendations for corrective action. OMB characterized the findings in this report as "both alarming and important," and directed all Federal departments and agencies to address the report recommendations as appropriate. In addition, the Computer Systems Security and Privacy Advisory Board established by the Computer Security Act of 1987 used the report as a baseline for determining the direction and scope of the Board's activities. A brief description of the two internal audit reports identifying material internal control weaknesses follows.

A report on general ADP controls and microcomputer management at USCG Headquarters noted that automated information system (AIS) security had not been effectively implemented. AIS security responsibilities had not been assigned in all offices, AIS risk assessments and contingency plans had not been completed, overall security awareness and training had not been sufficient, and implementation of USCG's AIS Security Program had not been regularly evaluated. As a result, USCG lacked assurance that its valuable and highly sensitive AIS resources at Headquarters (including hardware, software, and data) were adequately protected. USCG concurred fully with the report finding and recommendations, and either took or planned appropriate corrective actions. (Report No. AD-CG-9-003)

A report on system development life cycle maintenance of the Department's Consolidated Uniform Payroll System (CUPS) described how FAA had not sufficiently controlled changes to the system. Functional requirements for approved system change proposals had not been formally defined before being forwarded for programming, prompting CUPS programmer/analysts to violate the separation of duties concept by assuming responsibility for interpreting functional requirements in addition to coding and testing the changes. Furthermore, numerous system changes had been made using an informal mechanism outside the established change control process--without the review or approval of the CUPS Data System Manager. As a result, the Data System Manager could not certify that system changes were correct and that the associated user requirements were being met. These material internal control weaknesses increased the likelihood that CUPS maintenance would produce system changes which did not meet DOT's payroll needs, increased system modification costs, and introduced erroneous and/or misleading data into the automated payroll file. FAA concurred fully with this finding and the associated recommendations, and began the necessary corrective actions. (Report No. AD-FA-9-004)

Regional Audit Offices

	1990 Estimate	1991 Estimate	Difference
Permanent Positions:			
(JRA-II) New York	31	31	0
(JRA-III) Baltimore	21	21	0
(JRA-IV) Atlanta	33	33	0
(JRA-V) Chicago	25	25	0
(JRA-VI) Ft. Worth	28	28	0
(JRA-VII) Kansas City	21	21	0
(JRA-IX) San Francisco	34	34	0
(JRA-X) Seattle	24	24	0
Total	217	217	0
Full-Time Equivalent:			
JRA-II	30	30	0
JRA-III	21	21	0
JRA-IV	32	32	0
JRA-V	25	25	0
JRA-VI	27	27	0
JRA-VII	21	21	0
JRA-IX	33	33	0
JRA-X	24	24	0
Total	213	213	0

	1990 Estimate	1991 Estimate	Difference
Personnel Compensation and Benefits:			
JRA-II	$ 1,486,000	$1,533,000	$+47,000
JRA-III	922,000	950,000	+28,000
JRA-IV	1,431,000	1,475,000	+44,000
JRA-V	1,034,000	1,066,000	+32,000
JRA-VI	1,479,000	1,525,000	+46,000
JRA-VII	1,127,000	1,162,000	+35,000
JRA-IX	1,560,000	1,608,000	+48,000
JRA-X	1,125,000	1,160,000	+35,000
Subtotal	$10,164,000	$10,479,000	$+315,000

	1990 Estimate	1991 Estimate	Difference
Travel			
JRA-II	$110,000	$112,000	$+2,000
JRA-III	79,000	81,000	+2,000
JRA-IV	175,000	179,000	+4,000
JRA-V	64,000	65,000	+1,000
JRA-VI	71,000	72,000	+1,000
JRA-VII	159,000	162,000	+3,000
JRA-IX	221,000	227,000	+6,000
JRA-X	102,000	106,000	+4,000
Subtotal	$981,000	$1,004,000	$+23,000
Total	$11,145,000	$11,483,000	$+338,000

OIG regional offices conduct audits in an assigned geographical area and lead selected major Departmentwide and Modalwide audits that are performed using a coordinated approach. A breakdown of regional responsibilities follows:

Audit Regions	FAA Regions	USCG District	FHWA Regions	NHTSA Regions	FRA Regions	SLSDC	UMTA Regions	MARAD 5/	RSPA 5/
JRA-II	Eastern New England	1st	I	1 & 2	I	1/	1 & 2	3/	4/
JRA-III	-	5th	III	3	II		3		
JRA-IV	Southern	7th	IV	4	III		4		
JRA-V	Great Lakes	9th	V	5	IV		5		
JRA-VI	Southwest 2/	8th	VI	6	V		6		
JRA-VII	Central	2nd	VII & VIII	7 & 8	VI		7 & 8		
JRA-IX	Western Pacific	11th & 14th	IX	9	VII		9		
JRA-X	Alaska Northwest Mountain	13th & 17th	X	10	VIII		10		

1/ Performs all audits of St. Lawrence Seaway
2/ Including Aeronautical Center at Oklahoma City
3/ Including U.S. Merchant Marine Academy
4/ Including Transportation Systems Center
5/ Audit responsibilities for these Modal Administrations do not match our regional alignments

Change in Resources

The increase in personnel costs is for annualization of the FY 1990 pay raise, funding of the FY 1991 pay raise, and normal within-grade and merit pay increases.

An increase of $23,000 is requested for travel to support the more travel-intensive Departmentwide and Modalwide audits, to fund travel to attend training required by GAO's new audit training standards, and to provide for anticipated fare increases.

Audit Emphasis

Prior audit emphasis has been directed toward conducting "Economy and Efficiency" and "Program Results" audits of DOT's regional operations. These audits are designed to determine whether (1) resources are being utilized in an economical and efficient manner, (2) consideration has been given to alternatives which yield results at a lower cost, and (3) the benefits intended by legislation or other authorization are being obtained. Operations that have been emphasized in prior regional audits include: Airport Pavement Material Conformance, FAA; Emergency Relief Program, FHWA; Small Purchase Procurements at TSC, RSPA; Peak Vehicle Requirements, UMTA; Management of Leased Space, FAA; Integrity of the Highway Contracting Bidding Process, FHWA; Bus Retirement and Contingency Fleet Management, UMTA; VHF-FM Protected Communications, USCG; Procedures for Obtaining and Maintaining Vessel Drawings, USCG; Management of Airport Improvement Grants, FAA; Guadalupe Corridor Freeway Projects, FHWA; Program Review and Monitoring, NHTSA; and Aviation Maintenance Technician Schools, FAA.

Additionally, the OIG regional offices conduct "Protective Audits" to assess the administrative management practices at smaller DOT facilities. Audits of this type normally include a review of travel activities, use of Government vehicles, control over DOT property, small purchases, imprest funds, timekeeping, payroll, and other activities of an administrative nature.

Some of the regional audits included in our FY 1990 plan are: Aids to Navigation Program, USCG; Negotiated Procurements at Aeronautical Center, FAA; Independent Assurance Testing and Sampling, FHWA; Fund Management, UMTA; Airport Pavement Design, FAA; Nonhighway use of Real Property, FHWA; Leased Property and Equipment, UMTA; Pollution Control, USCG; Grants to Airports for Land and Relocation Assistance, FAA; Cost Comparisons of Asphalt vs. Concrete Payments, FHWA; and Intermediate Boat Maintenance and Repair, USCG.

Where appropriate, regional offices will extend their reviews to include coverage on a nationwide basis.

Accomplishments

In FY 1989, regional offices issued 177 internal audit reports with a potential cost impact of $293.3 million and issued 1,277 grant reports with costs of $39.3 million questioned. In addition, 18 contract reports were issued with costs of $3.4 million questioned. The following schedule provides a breakdown by regional office.

Regional Audit Office	Internal Reports		Grant Reports		Contract Reports	
	No.	Dollar Impact* (Millions)	No.	Dollar Impact* (Millions)	No.	Dollar Impact* (Millions)
JRA-II	30	$ 20.52	215	$ 1.12	4	$.09
JRA-III	12	21.63	113	2.37	0	0
JRA-IV	15	81.48	152	3.43	3	0
JRA-V	14	28.04	165	6.33	0	0
JRA-VI	20	8.32	135	20.77	6	.68
JRA-VII	26	20.93	156	1.66	2	1.10
JRA-IX	40	96.82	235	1.83	0	0
JRA-X	20	15.52	106	1.78	3	1.53
Totals	177	$293.26	1277	$39.29	18	$3.40
	===	=======	====	======	===	=====

* Includes costs questioned, costs unsupported, and funds put to better use.

A brief description of some regional audit reports issued during FY 1989 follows.

State highway agencies (SHA) in FHWA Regions IV, V, VII, and IX retained over $107 million in excess funds on completed or inactive projects for periods ranging up to 6 years. These funds could have been made available for other needed highway improvements. This condition existed because the FHWA division offices monitoring plans had placed insufficient emphasis on the identification and timely deobligation of excess funds on projects awaiting final close out. To improve fund management procedures at the division office level, we recommended that the FHWA regional offices instruct their division offices to: (1) assist SHAs in implementing fund management systems designed to identify excess project funds at the earliest possible time, and (2) strengthen their own monitoring procedures and controls relating to early identification and reprogramming of excess project funds. In responding to the draft reports, FHWA agreed that there is a need for continued enhancements in both FHWA's and the states' efforts to improve fund management and has initiated action to deobligate the excess funds. (Report Nos. R4-FH-9-008, R5-FH-9-038, R7-FH-9-004, R7-FH-9-023, and R9-FH-9-083 are part of a Modalwide audit which was issued October 24, 1989.) (Report No. AS-FH-0-003)

Improved procedures are needed to assure that contract change orders for the USCG's 378-Foot Fleet Renovation and Modernization (FRAM) Project are adequately funded and consistent with project objectives. The OIG found that the USCG allowed one of two contractors to continue work on change orders without establishing financial limitations. As a result, the contractor was under no contractual constraints to control costs for 30 contract modifications. Also, obligations for these modifications were understated by at least $24 million. Further, objectives to improve standardization and replacement of aging equipment were not fully achieved because management controls to prevent significant configuration differences between vessels under the two separate contracts were not implemented. In addition, a resident inspection office had not maintained adequate records resulting in the (1) misstatement of funding availability,

(2) absence of controls to prevent funding deficiencies, and (3) uncertainty over the accuracy of obligations for each vessel. Also, at one contractor's facility, the USCG issued 23 contract modifications totaling $185 million, and directed work on six unpriced and minimum priced modifications estimated to cost $14 million without obtaining required OST approval. The USCG generally concurred with our recommendations and has initiated necessary corrective action. (Report No. RO-CG-9-036)

The absence of effective controls over land management activities in one FAA region resulted in expenditure of Federal funds totaling approximately $2.4 million for land which was either not used or no longer used for the purpose acquired. In addition, required credits totaling $544,518 had not been extended FAA for airports closed and no longer used for aviation purposes. Further, approximately $374,500 had not been realized because fair market rent had not been charged for the nonaviation use of airport property. In response to the report's recommendations, FAA agreed to: (1) establish a formal inventory of land acquired with Federal funds; (2) perform an analysis of land needs at each airport with appropriate disposition action initiated for land not directly needed for program purposes; (3) implement necessary management controls to ensure adherence to FAA orders governing the acquisition and utilization of land; (4) periodically monitor land acquired to ensure utilization for the purpose acquired; (5) discontinue the practice of relinquishing rights in real property after 20 years; (6) provide guidance to grantees to ensure proper disposition and refund of the Federal interest in property acquired with Federal assistance; (7) review land utilization at each airport to ensure appropriate lease arrangements have been made for the nonaviation use of airport property; and (8) establish procedures for the periodic evaluation of airport rental and lease arrangements to ensure receipt of fair market rental. (Report No. R7-FA-9-015)

A SHA, in its 1985-1990 construction work program, programmed 22 Federal-aid highway projects to increase the capacity of two-lane highways at locations where the existing highway had sufficient capacity to serve current traffic needs. These projects, estimated to cost $106 million, were not linked to, or justified by, planning data showing that the improvements were needed. Rather, the projects were among the first to be programmed under a state policy decision to stimulate economic development by creating networks of multilane roads in rural counties. The estimated total cost of the SHA's program is $4.5 billion. The SHA could not provide the OIG with any analyses explaining how and why the 22 projects would assist in developing the economic potential of the affected areas. Subsequent to being briefed on the results of our audit, the SHA withdrew its request for Federal funding on seven projects estimated to cost $34.3 million ($25.7 million Federal share). The Federal Highway Administrator concurred with our recommendation that FHWA, in conjunction with other changes being considered for inclusion in the Surface Transportation Assistance Act of 1992, develop criteria for highway projects that are not based on traffic demand such as projects intended to stimulate economic development, and establish procedures for determining the extent of Federal-aid warranted for those projects. (Report No. R4-FH-9-049)

OFFICE OF ASSISTANT INSPECTOR GENERAL FOR INVESTIGATIONS
SUMMARY STATEMENT

Description

Under the authority of the Inspector General Act of 1978 and under the executive direction of the Inspector General, the Assistant Inspector General for Investigations ensures compliance with the President's Council on Integrity and Efficiency standards for all criminal investigations performed in the Department. Proactive and reactive investigations are performed to protect the integrity and resources of the Department. This organization also manages the Inspector General Hotline Complaint Center and investigates allegations of wrongdoing which impact the Department.

Investigative Resources

Investigative staff effort is projected at 82 staff years for FY 1991. This chart illustrates the distribution of staff years by investigative activity and office, followed by a brief description of each activity.

INVESTIGATIVE FULL-TIME EQUIVALENTS BY ACTIVITY

Investigative Activity	FY 1990	FY 1991
Reactive Investigations:		
JI-1&2	1.0	1.0
JI-20	5.5	5.5
JRI-3 (Baltimore)	8.0	8.0
JRI-4 (Atlanta)	5.5	5.5
JRI-5 (Chicago)	6.5	6.5
JRI-6 (Ft. Worth)	7.5	7.5
JRI-9 (San Francisco)	5.5	5.5
Total	39.5	39.5
Proactive Investigations:		
JI-1&2	1.0	1.0
JI-20	3.5	3.5
JRI-3	3.5	3.5
JRI-4	2.0	2.0
JRI-5	2.0	2.0
JRI-6	4.0	4.0
JRI-9	2.0	2.0
Total	18.0	18.0

Investigative Activity	FY 1990	FY 1991
DOT Complaint Center (Hotline):		
JI-1&2	-	-
JI-20	2.0	2.0
JRI-3	.5	.5
JRI-4	.5	.5
JRI-5	.5	.5
JRI-6	.5	.5
JRI-9	.5	.5
Total	4.5	4.5
Management:		
JI-1&2	2.0	2.0
JI-20	3.0	3.0
JRI-3	1.0	1.0
JRI-4	1.0	1.0
JRI-5	1.0	1.0
JRI-6	1.0	1.0
JRI-9	1.0	1.0
Total	10.0	10.0
Administrative/Clerical:		
JI-1&2	3.0	3.0
JI-20	2.0	2.0
JRI-3	1.0	1.0
JRI-4	1.0	1.0
JRI-5	1.0	1.0
JRI-6	1.0	1.0
JRI-9	1.0	1.0
Total	10.0	10.0
TOTALS	82.0	82.0

Reactive Investigations - Reactive investigations have as their primary focus specific individuals or companies that are usually targets at the outset of an investigation based on some alleged or suspected violation of the law. Most of these cases are complex, sensitive, and of a protracted nature which require a substantial amount of investigative resources. Bid rigging investigations overlap both reactive and proactive activities. Reactive investigations continue to be the area of greatest emphasis and dedication of staff effort.

Proactive Investigations - Proactive projects are broader-based, systematic efforts that have as their focus DOT operations or activities that are vulnerable to fraud and abuse, with an emphasis on the development and refinement of preventive measures. Quite often during the course of these proactive projects, specific targets (companies and/or individuals) are identified and reactive cases are initiated.

DOT Complaint Center (Hotline) - Activities consist of the receipt, evaluation, and referral of complaints for additional investigation, audit, or administrative action.

Management - This includes senior Headquarters and field investigative officials who direct the performance of all investigations relating to DOT programs and operations. This includes ensuring compliance with the PCIE standards for all criminal investigations.

Administrative/Clerical - Secretaries and clerk typists who type reports and correspondence, answer telephones, file documents, and perform other administrative duties in support of the investigative mission are included here.

Investigative Staffing (JI)

	1990 Estimate	1991 Estimate	Difference
Permanent Positions:			
JI-1&2	7	7	-
JI-20	17	17	-
JRI-3 (Baltimore)	14	14	-
JRI-4 (Atlanta)	10	10	-
JRI-5 (Chicago)	11	11	-
JRI-6 (Ft. Worth)	15	15	-
JRI-9 (San Francisco)	10	10	-
Total	84	84	-

Full-Time Equivalents:	1990 Estimate		1991 Estimate		Difference
JI-1&2		7		7	-
JI-20		16		16	-
JRI-3					
Philadelphia	3		3		
New York	3		3		
Cambridge	3		3		
Regional Office	5	14	5	14	-
JRI-4					
Ft. Lauderdale	2		2		
Regional Office	8	10	8	10	-
JRI-5					
Columbus	3		3		
Regional Office	8	11	8	11	-
JRI-6					
Denver	2		2		
New Orleans	3		3		
Regional Office	9	14	9	14	-
JRI-9					
Seattle	3		3		
Los Angeles	3		3		
Regional Office	4	10	4	10	-
Total		82		82	-

	1990 Estimate	1991 Estimate	Difference
Personnel Compensation and Benefits:			
JI-1&2	$ 340,000	$ 373,000	$ +33,000
JI-20	717,000	739,000	+22,000
JRI-3	669,000	690,000	+21,000
JRI-4	480,000	495,000	+15,000
JRI-5	535,000	551,000	+16,000
JRI-6	712,000	735,000	+23,000
JRI-9	501,000	517,000	+16,000
Subtotal	$3,954,000	$4,100,000	$+146,000

Travel Costs:			
JI-1 JI-2 & JI-20	$ 31,000	$ 32,000	$+1,000
JRI-3	59,000	68,000	+9,000
JRI-4	79,000	80,000	+1,000
JRI-5	47,000	54,000	+7,000
JRI-6	160,000	161,000	+1,000
JRI-9	58,000	61,000	+3,000
Subtotal	$ 434,000	$456,000	$+22,000
Other Costs:			
Reimbursable with Department of Justice	$9,300	$9,800	+$500
Investigative Equipment	25,000	-0-	-25,000
Consulting Services	-0-	13,000	+13,000
Subtotal	$34,300	$22,800	$-11,500
Totals	$4,422,300	$4,578,800	$156,500

The Office of Inspector General investigative organization is divided into a Headquarters function and field operations. The Headquarters performs a control and quality assurance role and directs the activities of five regional offices and a Washington-area investigative function. In the regional offices, Special Agents-in-Charge (SAIC) are responsible for starting investigations, referring allegations to prosecutors, and controlling the activities of assigned special agents in their respective regions. SAICs are responsible for investigative assistance and advice to modal regional administrators and audit regional managers.

Changes in Resources

The increase for personnel costs is to fully fund the on-board staff, to annualize the FY 1990 pay raise, to fund the FY 1991 pay raise, including the senior executive service pay raise, and for normal within-grade and merit pay increases.

Additional travel funds of $22,000 are requested due to increases in caseload and anticipated fare increases.

Additional funds of $13,000 are requested to provide for specialized laboratory testing services used in conjunction with investigations. These services are not available from Departmental sources and involve services such as document or handwriting examination.

Significant Investigative Accomplishments

The OIG has continued its commitment to detect and prevent bid rigging in DOT-funded construction programs. During FY 1989, OIG joint investigations with the Department of Justice (DOJ) Antitrust Division resulted in 11 convictions, $5.0 million in fines, and 13.0 years probation.

OIG has continued to emphasize to modal elements that debarment is an effective administrative action against firms convicted of criminal violations involving DOT-funded projects. There were 23 such debarments.

A significant recovery was made by the States of Texas and Colorado as a result of prior OIG-DOJ bid rigging investigative efforts in these states. Through state civil recovery procedures, Texas recouped $12,646,427 and Colorado recouped $3,649,086 from highway contractors who had been convicted of antitrust violations.

Further investigations are currently in various stages of development in 18 states. While most of these involve highway construction conspiracies, one case deals with traffic signal contracts, another is directed at wholesale fuel distribution, and yet another involves consumer products. We are in the early stages of a large scale highway construction bid rigging investigation involving a regional conspiracy that appears to cover a multi-state area.

Reactive investigations have as their primary point of focus specific individuals or companies that are usually targets at the outset of an investigation based on some alleged or suspected violation of law. Reactive investigations may be initiated as a result of specific requests, as a spin-off of proactive projects or as a result of hotline information. Typical reactive investigations conducted by the OIG involve allegations of offenses such as false statements, false claims, bribery, conspiracy, embezzlement, theft of Government property, mail fraud, and conflicts of interest. These offenses may be investigated in the context of DOT contracts and procurement activities, grants and grantee operations, employee or former employee misconduct or illegal behavior, or fraudulent activity regarding regulatory authority of the Department.

Proactive investigations are broader-based, systematic efforts that have as their focus DOT operations or programs that are vulnerable to fraud and abuse, with an emphasis on the development and refinement of preventive measures. Quite often during the course of these projects, specific targets (companies and/or individuals) are identified and reactive cases are initiated. Projects typically include bid rigging investigations of highway contracts on a statewide level; surveys into procurement operations of metropolitan planning organizations; reviews of contracting practices of transit authorities; or any other similar examination of a facility, activity, or enterprise to detect the presence of fraud.

The following chart reflects each office's number of reactive and proactive case openings and current caseload for FY 1989.

OFFICE OF INSPECTOR GENERAL INVESTIGATIONS
WORKLOAD STATISTICS
FISCAL YEAR 1989

Office	Reactive Cases Opened	Proactive Cases Opened	Current Reactive Caseload	Current Proactive Caseload
JI-20	22	2	25	6
JRI-3	23	16	43	18
JRI-4	39	12	75	12
JRI-5	33	20	58	23
JRI-6	63	11	74	17
JRI-9	24	13	51	14
Totals	204	74	326	90

The following charts profile the reactive cases opened and closed by case category in each investigative office. Contract investigations are those in which there is a direct contractual relationship between the Department and the contractor. Employee cases are those in which our primary target is a Departmental employee. Grant investigations are those cases which involve a Departmental grantee and may include investigative efforts into contracts let by a grantee to a contractor. The "other" category includes cases dealing with enforcement matters within DOT purview as well as cases involving former Departmental employees.

PROFILE OF REACTIVE CASES
CLOSED DURING FISCAL YEAR 1989

	TYPES OF CASES				
Office	Contracts	Employees	Grants	Other	Total
JI-20	5	19	0	3	27
JRI-3	1	12	19	1	33
JRI-4	3	18	10	21	52
JRI-5	2	5	3	1	11
JRI-6	3	7	9	15	34
JRI-9	3	14	5	8	30
Totals	17	75	46	49	187

PROFILE OF REACTIVE CASES OPENED DURING FISCAL YEAR 1989

TYPES OF CASES

Office	Contracts	Employees	Grants	Other	Total
JI-20	1	16	1	4	22
JRI-3	8	7	3	5	23
JRI-4	4	14	5	16	39
JRI-5	3	12	11	7	33
JRI-6	6	8	15	34	63
JRI-9	2	7	5	10	24
Totals	24	64	40	76	204

The following charts reflect the number of indictments and convictions we achieved in FY 1989. These accomplishments are profiled by regional office and by case category:

OFFICE OF INSPECTOR GENERAL INDICTMENTS IN FISCAL YEAR 1989

TYPES OF CASES

Office	Contracts	Employees	Grants	Other	Total
JI-20	0	1	0	1	2
JRI-3	0	1	2	5	8
JRI-4	9	2	0	7	18
JRI-5	0	0	4	0	4
JRI-6	0	2	13	23	38
JRI-9	0	5	9	35	49
Totals	9	11	28	71	119

OFFICE OF INSPECTOR GENERAL CONVICTIONS IN FISCAL YEAR 1989

TYPES OF CASES

Office	Contracts	Employees	Grants	Other	Total
JI-20	0	1	0	1	2
JRI-3	0	1	21	1	23
JRI-4	1	2	0	11	14
JRI-5	1	0	12	0	13
JRI-6	0	1	9	14	24
JRI-9	0	7	8	1	16
Totals	2	12	50	28	92

Reactive Cases (Number Closed)	FY 1990 Estimated	FY 1991 Estimated
Employee	45	45
Grants	95	100
Contracts	25	30
Other	30	30
TOTALS	195	205
Total Targets*	235	245
Proactive Projects (Closed)	26	28
Hotline (Number of Complaints)	400	400

* Each case may have several "targets," individuals, or organizations that are subsequently prosecuted as a result of one investigation. The more targets a case has, the more complex the case, requiring more time to complete.

Future Investigative Interest

Reactive cases involving solid allegations of criminal wrongdoing will continue to have priority of available resources. However, we intend to continue to emphasize proactive projects when possible. A brief discussion of several major areas of investigative interest follows.

Bid Rigging Investigative Effort

Investigation into antitrust violations continues to produce results, although at a lower rate than we have previously experienced. One reason for this is that highway contractors have become much more sophisticated in their methods of conducting collusive enterprises. In response, we have been required to refine our investigative and analytical techniques to ensure that we will be able to respond to illegal collusive activities in the future. We find that we are also required to use many more traditional investigative techniques than in the past. As a result, it takes far more effort to conduct highway bid rigging investigations in today's environment. We do not believe that bid rigging is a problem that will ever be eliminated, and so we will continue to work with states to monitor bidding patterns and to detect and deter antitrust violations. Finally, we will continue to look beyond asphalt hot mix to areas such as fencing and signals as areas of possible collusive activity. In FY 1989, we achieved 119 indictments, with only nine of those in the area of bid rigging. With available resources, we have been forced to spend our staff effort on many other types of criminal investigations.

Debarment of convicted contractors remains the administrative action we feel to be the most appropriate remedial measure available to the Department in response to conviction of a contractor in a DOT-funded program. There were 91 debarments of individuals and firms convicted of criminal violations during FY 1989. Of these debarments, 23 related to bid rigging cases which had been successfully brought to criminal justice action.

Departmental Grant Investigations

Investigative areas involving Department grants, to which both reactive and proactive resources will be directed, include metropolitan planning organizations, transit authorities, airport improvement or development projects, and other more general categories of abuse in federally funded programs administered by states and various authorities. An example of the general category might involve a supportive services center which has been granted Department funds to provide an outreach function for disadvantaged business enterprises. We plan to continue placing emphasis on curbing abuses involving DBEs, which participate on almost all construction projects funded by the Department.

Direct Contract Investigations

As evidenced by the profile of reactive cases closed during FY 1989, we closed 17 contract cases and opened 24 in FY 1989. We will continue to emphasize our efforts in this important area of Departmental operations.

DOT Complaint Center

The investigative staff is responsible for operating the DOT Complaint Center (Hotline). During FY 1989, the staff processed 390 telephone, letter, and walk-in complaints. Of these, 264 were entered into our Hotline control system. We have found that the number of complaints received has decreased slightly from FY 1988, and that the number of serious complaints continues to remain high.

Office of the Assistant Inspector General for Policy, Planning, and Resources (JP-1)

	1990 Estimate	1991 Estimate	Difference
Permanent Positions	2	2	-
Full-Time Equivalents	2	2	-
Personnel Compensation and Benefits	$127,000	$147,000	$+20,000
Travel Costs	2,000	2,000	-
Total	$129,000	$149,000	$+20,000

The Assistant Inspector General for Policy, Planning, and Resources is responsible for the executive direction of the Offices of (1) Policy and Procedures, (2) Planning and Resources, and (3) Personnel and Training. The specific responsibilities related to the Inspector General Act of 1978 encompass providing policy direction for conducting, supervising, and coordinating audits and investigations; reviewing proposed legislation and regulations; recommending policies to assure Inspector General compliance with standards established by the Comptroller General for audits of Federal establishments, organizations, programs, activities, and functions; preparing semiannual reports summarizing the activities of the Office of Inspector General for the 6-month periods ending March 31 and September 30 and assisting the Department in making copies available to the public. In addition, the organization performs quality assurance reviews of audit and investigative offices; provides strategic long-range planning and audit tracking systems for the Office of Inspector General; provides budget and financial management support for the OIG; handles all general administrative functions; and provides full personnel, training, and equal employment opportunity support to the OIG.

Change in Resources

No new programs or positions are requested for this office in FY 1991. The increase for personnel costs is to fully fund the on-board staff, to annualize the FY 1990 pay raise, to fund the FY 1991 pay raise, including the senior executive service pay raise, and for normal within-grade and merit pay increases.

Office of Policy and Procedures (JP-10)

	1990 Estimate	1991 Estimate	Difference
Permanent Positions	9	9	-
Full-Time Equivalents	9	9	-
Personnel Compensation and Benefits	$462,000	$476,000	$+14,000
Travel Costs	8,000	11,000	+ 3,000
Total	$470,000	$487,000	$+17,000

JP-10 staff years by functional area are as follows:

Functional Areas	1990 Estimate	1991 Estimate
OIG Operating Procedures Manual - Audit, Investigations, Technical Support, and Personnel Matters	2.0	2.0
OIG Quality Assurance Program	1.0	1.0
Coordinate/comment on proposed and final DOT rulemaking, draft DOT Orders, proposed legislation, DOT studies, GAO Reports, etc.	.5	.5
OIG audit followup system and OIG/OST audit resolution and FMFIA activities	1.0	1.0
Semiannual Report	.5	.5
Coordination of PCIE meetings, projects, questionnaires, studies, proposed responses to legislation, PCIE newsletter input, input to PCIE semiannual reports, etc.	.5	.5
Review of OIG audit reports for compliance with OIG policy and procedures; and maintain library of all OIG reports	.5	.5

Clerical support	2.0	2.0
Management and supervision	1.0	1.0
Total	9.0	9.0

The Office of Policy and Procedures, under the direction of the Assistant Inspector General for Policy, Planning, and Resources, is responsible for providing and maintaining audit, investigative and administrative policy and procedures, preparing the semiannual reports, conducting independent quality assurance reviews, maintaining the audit followup system for the Department, reviewing and commenting on proposed regulations, legislation and orders, and coordinating PCIE activities.

Change in Resources

The increase in personnel costs is for annualization of the FY 1990 pay raise, funding of the FY 1991 pay raise, and normal within-grade and merit pay increases.

Additional travel funds of $3,000 are requested to fully implement the quality assurance program.

Functional Areas

Policy and Procedures

The Office of Policy and Procedures is responsible for formulating, developing, and maintaining updated audit and investigative policy as well as policies involving administrative matters. Specifically, this office develops a body of audit standards and procedures for the OIG that is consistent with the standards for audit of Governmental organizations, programs, activities, and functions prescribed by the Comptroller General. Additionally, this office ensures that the quality investigative standards and procedures are current and consistent with the professional standards for investigations issued by the PCIE. These standards, policies and procedures are established in the OIG "Operating Procedures Manual" which is maintained, published, and distributed by this office. This office is currently revising the audit portion of the manual to ensure compliance with the revised GAO "Government Auditing Standards."

Quality Assurance Reviews

This office is also responsible for formulating standards, policies, and procedures and maintaining a quality assurance program to ensure consistent quality OIG audits and investigations. Overall, quality assurance in OIG encompasses the professional standards, current practices and guidance in the operating procedures manual, supervisory reviews, and external reviews of Headquarters and regional offices. It is OIG policy that every audit or investigation will be a quality product that produces clear, convincing, balanced, professional results in a timely manner. The goal is to conduct a quality assurance review of each OIG office once every 3 years. Further, GAO's revised

"Government Auditing Standards" requires an external peer review of the OIG operations every 3 years. The objective of the external peer review is to determine that the OIG has established an effective quality assurance program. Establishing an effective quality assurance program within our office should limit the scope and thus the amount of work required to be performed by the peer review.

Rulemaking, DOT Orders, Legislation, and Studies

This office is responsible for coordinating for comment, reviewing, and preparing IG responses regarding proposed and final rulemaking documents, DOT orders, legislation and DOT studies. Our review of proposed legislation and regulations is normally concerned with those aspects of the proposal which pertain to IG responsibilities and activities (e.g., prevention and detection of fraud, waste and abuse; the conduct of audits and investigations; access to pertinent records; etc.). The proposals also are reviewed to determine if internal controls are sufficient and appropriate measures are included to promote economy, efficiency, and effectiveness and prevent fraud, waste and abuse.

Audit Followup and Report Resolution

This office is responsible for maintaining and updating a centralized data base to assist OIG and Departmental management in monitoring (1) the resolution of disagreements involving OIG audit findings and recommendations and (2) the completion of corrective action once audit resolution has been achieved. Monthly reports are provided by the office to OIG and Departmental officials regarding the status of unresolved audits. The Inspector General Act Amendments of 1988 place additional responsibilities on the OIG to follow up on recommendations made in audit reports to ensure that corrective actions are taken and savings are achieved. To comply with the Act's amendments, this office reviews all final action reports prepared on report recommendations. This review is to ensure proper action is taken and to resolve any differences if the final action is not consistent with the previously reached decision. This followup process was previously performed monthly, but will now be a continuous process.

The office is also responsible for maintaining and updating the Departmental directives on audit resolution and followup and Departmental investigative activities. The office revised the directive on audit followup to build in the new requirements under the IG Act Amendment to assure that audit recommendations are resolved and corrective actions are completed in a timely manner.

Federal Managers' Financial Integrity Act

This office serves as the focal point in the OIG regarding FMFIA. Since the issuance of the first OMB Circular A-123 in 1981 and subsequent passage of the FMFIA in 1982, the OIG has been heavily involved in implementing the program within the Department. The overall role of the OIG is essentially twofold: providing technical guidance and assisting in implementation. As an entity of the Department, the OIG also has a responsibility to implement the FMFIA in its internal activities.

This office is the primary OIG office regarding the technical guidance and assistance provided to the Department which includes OIG assistance in drafting policy; identifying assessable units; recommending methodology for performing vulnerability assessments, internal control reviews, and accounting system reviews; tracking the process; and preparing the annual report to the President and Congress. This office is also responsible for assessing the OIG's compliance with the Act and Circular once every 5 years.

Semiannual Report

This office prepares the Semiannual Reports to Congress in accordance with P.L. 95-452 as amended. This project involves coordinating with other OIG offices, summarizing OIG major audit accomplishments, highlighting selected significant findings and recommendations and providing an audit followup summary of unresolved audits over 6 months old. Also involved in this activity are the statistical overview of operations, results and highlights of reactive, proactive, and project investigations, the disposition of hotline complaints, plus summaries of OIG responses to legislative and regulatory reviews. As a result of the IG Act Amendments, this office revised the format of the report as well as the data collection needed to prepare the newly required semiannual data on cost savings.

Coordination Function

This office serves as the focal point within the IG for coordinating activities associated with the PCIE. This involves contacting the offices of other IG's participating in PCIE projects and commenting on numerous PCIE questionnaires, studies, and other documents. Also this office attends and summarizes monthly PCIE liaison meetings which cover discussions of current PCIE issues (such as legislation and joint projects), PCIE meeting agenda, and action items.

Office of Planning and Resources (JP-20)

	FY 1990 Estimate	FY 1991 Estimate	Difference
Permanent Positions	9	9	-
Full-time Equivalents	9	9	-
Personnel Compensation and Benefits	$419,000	$429,000	$+10,000
Travel Costs	3,000	5,000	+2,000
Subtotal	$422,000	$434,000	$+12,000
Other Costs			
Benefits to Former Personnel	$ 15,000	$18,000	+3,000
Transportation of Things	11,000	18,000	+7,000
Rental Payments to GSA	2,000,000	2,112,000	+112,000
Rental Payments to Others	68,000	70,000	+2,000
Communications, Utilities and Miscellaneous Charges 1/			
Equipment Rental	43,000	45,000	
Local Phone	160,000	145,000	
Long Distance	19,000	20,000	
FTS	205,000	205,000	
Penalty Mail	80,000	74,000	
Subtotal	507,000	489,000	-18,000
Printing	108,000	106,000	-2,000
Other Services 2/			
Security	60,000	46,000	
Building Alterations	13,000	31,000	
WCF	340,000	358,000	
Other Reimbursables 3/	222,000	225,000	
Maintenance	26,000	27,000	
Miscellaneous 4/	54,000	44,000	
Subtotal	715,000	731,000	+16,000
Supplies 5/			
Subscriptions	14,000	16,000	
Office Supplies	83,500	100,000	
Other Supplies	25,000	34,000	
Subtotal	122,500	150,000	+27,500

Furniture and Equipment 6/	50,000	50,000	-0-
Insurance	3,000	3,000	-0-
Costs Associated with PCS (includes services such as: household goods storage, transportation, and real estate costs)	170,000	224,000	+54,000
Subtotal	$3,769,500	$3,971,000	$+201,500
Total	$4,191,500	$4,405,000	$+213,500

1/ Does not include balance of leases which are shown under JA-30.
2/ Contract audit not included since shown under JA-2.
3/ Does not include reimbursables shown under JI and JP-30.
4/ Does not include contract services shown under JI.
5/ Does not include balance of supplies and software purchases, shown under JA-30/AICIS.
6/ Does not include computer equipment shown under AICIS.

JP-20 FTEs by functional area are as follows:

Functional Areas	FY 1990 Estimate	FY 1991 Estimate
Long-Range Planning	2.0	2.0
Budget and Fiscal	2.0	2.0
Data Base Management	1.0	1.0
Administrative Services	2.0	2.0
Clerical	1.0	1.0
Management and Supervision (including Congressional Liaison)	1.0	1.0
	9.0	9.0

The Office of Planning and Resources, under the direction of the Assistant Inspector General for Policy, Planning, and Resources, is responsible for providing the OIG with a long-range strategic plan, managing the OIG Management Information System, serving as Congressional liaison for the OIG, preparing and executing the OIG budget, providing financial services, and providing administrative services support to the OIG.

Change in Resources

The increase in personnel costs is for annualization of the FY 1990 pay raise, funding of the FY 1991 pay raise, and normal within-grade and merit pay increases. An increase of $2,000 in travel is requested to visit regional offices on a periodic basis to assess space needs and to conduct reviews of administrative requirements and controls. Specifically, this office, as part of its administrative services' responsibility, will initiate a schedule for visiting the regional offices on an annual basis. The purpose of these trips will be to view current space, furniture, and equipment requirements; meet with building liaisons, as needed; review and/or evaluate inventory and other administrative controls; and train and/or answer questions about the regional offices' administrative responsibilities.

All administrative services are centrally controlled and funded from this office. These increases are requested on behalf of the other offices in the OIG.

Rental Payments to GSA - Rents have been increased in accordance with GSA rates.

Rental Payments to Others - Increased for inflation.

Communications, Utilities and Miscellaneous Charges - In addition to increases for inflation, $8,000 is requested for additional copying machines and $26,000 is requested for additional phone service. Additional copying machines are required for investigations because of privacy concerns of reproducing sensitive investigative (including grand jury) material in crowded copy centers. Additional phones are required for the Columbus, Ohio, and New Orleans, Louisiana, field offices. Additional cellular phones for investigative personnel are also required.

Printing - Increased for inflation.

Other Services - Increased for inflation.

Supplies - Increased for inflation.

Permanent Change of Station Moves - An increase of $54,000 is requested for one additional PCS move. The rising costs of these moves have resulted in a severe curtailment of relocation for OIG employees. These moves are necessary to fill vacancies where local candidates are not available.

Functional Areas

Long-Range Planning

This office is responsible for developing and maintaining a long-range strategic plan to ensure that OIG audits address the most current transportation issues and are responsive to Departmental needs. This process involves the continual analysis of Modal Administration budgets to develop key issue areas for OIG concentration; periodic reevaluation of Departmental management and operating trends in order to identify new issues for OIG coverage or restructuring of existing issue areas as priorities shift; and development of multi-year OIG resource requirements that will be necessary to provide coverage for these issues.

Initial efforts are underway for developing a long-range strategic plan. Information will be gathered for a data base on Modal areas of interest. Major efforts will be devoted to this area and plans are to integrate the Department's budget process to more adequately identify areas for OIG audit and investigative emphasis in future years.

Budget and Fiscal

All OIG budget matters are the responsibility of this office. As the focal point for budget requirements, this office prepares the OIG budget submissions to OST, OMB, and Congress with all appropriate supporting materials; prepares and coordinates materials for all budget hearings; implements budget and financial policy; prepares apportionments/reapportionments, allotments and requests for Treasury Warrants, as appropriate; ensures quarterly obligational authority is not exceeded; certifies fund availability; maintains commitment/obligation/expenditure records; and represents the OIG on all budget and resources matters.

Data Base Management

This office, through a data base administrator, manages the OIG's MIS by: coordinating system and data base changes between all operating elements of the OIG, preparing MIS policy and procedures, developing reports for management, certifying that program requirements are met and adequate quality controls are programmed, evaluating the system's cost and performance, training OIG personnel on the MIS, and acting as liaison on all MIS matters. In addition, this position will be responsible for developing analytical exception and ad hoc reports for management on office results, accomplishments, and operations. The function will also be responsible for maintaining the audit universe and tracking system for Departmental programs, protective audits, and imprest fund audits. These responsibilities include periodic updates and refinements to the universe.

Administrative Services

This office provides administrative services to the OIG. These responsibilities include acquisition of all required services for OIG staff, maintaining equipment inventory, issuing travel authorizations and permanent change of station orders, implementing travel policy, conducting space management activities, arranging for office moves and telephones, issuing OIG credentials, requesting security clearances, and handling Privacy Act matters.

Congressional Liaison

The Director, Planning and Resources, establishes and maintains contact with appropriate House and Senate staffs, notifying them of audits or investigations of interest, and arranging for briefings, as appropriate; and remains cognizant of areas that are of particular interest to the Congressional staffs.

Office of Personnel and Training (JP-30)

	1990 Estimate	1991 Estimate	Difference
Permanent Positions	9	9	-
Full-time Equivalents	9	9	-
Personnel Compensation and Benefits	$361,000	$ 373,000	$ +12,000
Travel costs	5,000	6,000	+1,000
Subtotal	$366,000	$ 379,000	$ +13,000
Training	205,000	220,000	+15,000
Other Reimbursables			
Payroll (CUPS)	61,400	65,000	
Consolidated Personnel Management Information System	17,100	18,000	
Drug Testing	7,800	8,500	
Employee Counseling Services Program	3,300	3,500	
Subtotal	$ 89,600	$ 95,000	$ +5,400
Recruitment & Staffing			
Brochures/advertisements/displays	-	3,000	
Job Fairs (professional)	-	1,500	
Job Fair (clerical)	-	150	
Subtotal	$ 0	$4,650	$+4,650
Special Emphasis Women's Program (FWP)			
Monthly Luncheon Speakers	$ 250	$ 600	
Women's Week Celebration	500	500	
Training for FWP Manager (seminar)	700	700	
OIG Women's Conference (Biennial)	7,000	0	
Videotapes/Newsletter	1,500	1,500	
Subtotal	$ 9,950	$ 3,300	$ -6,650

Minority Program			
Black History Month Celebration	$ 600	$ 600	
M.L. King, Jr., Birth Celebration	300	300	
Historically Black Colleges and Universities recruitment trips	800	800	
Hispanic Heritage Week Celebration	600	600	
Hispanic College Recruitment trips (2)	2,200	2,200	
Asian Pacific American Heritage Week Celebration	450	450	
Subtotal	$4,950	$ 4,950	-0-
Handicapped/Disabled Veterans Affirmative Action Program			
Conferences/Seminars for Special Placement Coordinator	$ 500	$ 500	
Employ the Handicapped Month Celebration	400	400	
Veterans Recognition Activity	150	150	
Videotapes/Films	500	500	
Reasonable Accommodation Equipment	1,000	1,000	
Subtotal	$2,550	$ 2,550	-0-
Subtotal, Other Reimbursables	$107,050	110,450	+3,400
Total for JP-30	$678,050	$ 709,450	$ +31,400

JP-30 FTEs by functional area are as follows:

Functional Areas	1990	1991
Recruitment & Staffing	2.7	3.0
Employee Benefits & Employee Relations	1.4	1.4
Training	1.0	1.0
Classification, Pay & Performance Management	.3	.5
CPMIS/Records/Processing	1.2	1.0
EEO Complaints Processing	.1	.1
Management & Supervision	1.2	1.0
Clerical Support	1.1	1.0
Total	9.0	9.0

The Office of Personnel and Training, under the Direction of the Assistant Inspector General for Policy, Planning, and Resources, is responsible for providing and maintaining an independent personnel function including independent appointment and operating authorities, position classification, position management, employee development and training, and administration of the OIG's equal employment opportunity (EEO) program and associated special emphasis programs.

Changes in Resources

The increase for personnel costs is for annualization of the FY 1990 pay raise, funding of the FY 1991 pay raise, and normal within-grade and merit pay increases.

The training program increase of $15,000 reflects GAO standards requiring 80 hours of training within a 2-year period.

Travel funds are requested for several field trips of 2-3 days in duration depending on the nature of the assistance requested. The increase in travel is for anticipated fare increases.

Funds are requested to respond to recruitment activity for the development and updating of recruitment materials to include OIG-specific brochures, flyers, and table-top displays for use in job fairs/recruitment trips. Resources are requested to provide speakers for selected Women's Program functions and for speakers/demonstrations at the various minority emphasis activities. In addition, because of renewed recruitment activity, funds are requested for Federal Equal Opportunity Recruit Program related recruitment trips to historically Black and Hispanic universities.

Functional Areas

Personnel and Training

The Office of Personnel and Training operates an independent personnel office within the Department of Transportation with independent appointing and operating authorities. As such, it develops, plans, and administers the full range of Federal personnel management programs under the broad umbrella of Departmental policy. These programs include position classification, position management, leave and pay administration, recruitment and staffing, employee development and training, employee relations and counseling assistance, employee benefits and recognition, performance management, and personnel processing and recordkeeping. The office also serves as liaison for personnel security and payroll processing functions administered by OST and FAA, respectively. In addition, the office administers the Departmental Drug Testing Program within the OIG.

The Office of Personnel and Training also plans, develops, and administers the EEO program for the OIG, including development and implementation of the multiyear Affirmative Action Program and associated special emphasis programs and the administration of EEO complaints processing.

U. S. DEPARTMENT OF TRANSPORTATION

OFFICE OF INSPECTOR GENERAL

AUDIT AND INVESTIGATION COMPUTER INTEGRATION SYSTEM (AICIS)

AICIS Project
December 1989 Status Report

The Office of Inspector General (OIG), during Fiscal Year 1989, completed the hardware and software purchases needed to begin implementation of the Audit and Investigation Computer Integration System (AICIS) Project. In this period the OIG purchased the required microcomputers and integration software which were needed as the base starting point for the AICIS project. In addition, the OIG was able to replace its obsolete portable microcomputers during FY 1989. The OIG currently has 259 microcomputers, resulting in a ratio of staff members per microcomputer of about 1.8-to-1.

A contract for the DOT-wide Office Automation Technology and Services (OATS) competitive procurement (which the OIG intends to use to supply most of the requirements for the AICIS Project) was awarded on December 21, 1989. This will accommodate the OIG's current plans for implementing the initial portion of the AICIS project during Fiscal Year (FY) 1990, which involves using microcomputers and software acquired under OATS to replace the OIG's obsolete word processing systems.

FY 1990 budget cutbacks have forced the OIG to extend the AICIS implementation schedule from five years, as originally planned, to seven years, with a redistribution of resources to match the extension. The basic changes are to spread all purchases over the new seven year period by: (1) buying an average of 35 rather than 50 microcomputers (and associated software) per year; (2) providing for two processor upgrades equivalent to the previously planned three, using a "Lease-to-Purchase" option to level out these expenditures over two 3-year periods; and (3) spreading Local Area Network (LAN) implementation evenly over years two through seven of the project. Headquarters LAN implementation will now cover FY 1991 through FY 1993 while regional office LAN implementation will occur from FY 1994 through FY 1996. The financing charges associated with the "Lease-to-Purchase" method of acquisition will produce an overall estimated increase in total AICIS costs from $2,600,000 to $2,911,000. Nevertheless, the likelihood of continued budget constraints in future years makes the only other method of achieving the two processor upgrades--lump-sum purchase--infeasible.

During FY 1991, the OIG will replace prior generation microcomputer software and begin installing a Headquarters LAN which will connect the OIG's principle management staff to the OIG minicomputer system. The LAN will provide local automation, additional storage, print support, and connection to the major Departmental computer systems. Implementation of the Headquarters LAN will add a significant number of users to the minicomputer and will require a Model Group upgrade to service this expanded user base. This processor upgrade will be made in FY 1991 and will provide sufficient capacity until FY 1994, when another upgrade will be needed due to further expansion of the user base. As in all years of the plan, additional microcomputers and associated software will be purchased in FY 1991 under the OATS Project. These microcomputer additions will add to the base of equipment so that a ratio of 1.3 staff members to every microcomputer can be achieved by the end of FY 1993 (microcomputer purchases between FY 1994 and FY 1996 will be replacements rather than additions to the equipment base).

Further details on the AICIS Project are provided in the following attachments:

1. Detailed AICIS Costs by Fiscal Year (Attachment I),
2. Detailed AICIS Hardware/Software Summary by Fiscal Year (Attachment II), and
3. Original AICIS Justification (Attachment III).

Attachment I

TOTAL AICIS COSTS BY FISCAL YEAR

COST
(In Thousands of Dollars)

ITEM	FY 1990	FY 1991	FY 1992	FY 1993	FY 1994	FY 1995	FY 1996
Hardware Purchase							
Microcomputers	$120	$205	$140	$140	$140	$140	$140
Minicomputer upgrades		$ 65	$150	$150	$170	$170	$170
Local Area Networks		$ 60	$ 60	$ 60	$ 70	$ 70	$ 70
Total	$120	$330	$350	$350	$380	$380	$380
Software Purchase							
Micro	$ 0	$ 61	$ 40	$ 40	$ 40	$ 40	$ 40
Mini		$ 30	$ 30	$ 30	$ 40	$ 40	$ 40
LAN		$ 0	$ 30	$ 30	$ 30	$ 30	$ 30
Total	$ 0	$ 91	$100	$100	$110	$110	$110
GRAND TOTAL	$120	$421	$450	$450	$490	$490	$490

Attachment II

DETAILED AICIS HARDWARE/SOFTWARE SUMMARY, BY FISCAL YEAR

FY 1990 - Addition of 30 users to 80 users

-- Replace obsolete Wordprocessing Systems with OATS Systems

FY 1991 - Addition of 45 users to 125 users

-- OATS Software to Replace Prior Generation Microcomputer Software
-- 35 Additional Microcomputer Desktop Workstations
-- Headquarters LAN - Initial Hardware Increment
-- Software for LAN
-- Minicomputer Upgrade (Lease-to-Purchase)
--- Processor: 1.5 Mips to 2.5 Mips
--- Disk Storage: 5.0 Gb to 8.2 Gb
--- Tape Device for DASD Backup
--- Communications: I/O Card Unit Upgrade
--- Systems Software: Model Group Upgrade

FY 1992 - Addition of 45 users to 170 users

-- 35 Additional Microcomputer Desktop Workstations and Software
-- Headquarters LAN - Intermediate Hardware Increment
-- Software for LAN
-- Minicomputer Upgrade FY 1991, Lease-to-Purchase

FY 1993 - Addition of 45 users to 215 users

-- 35 Additional Microcomputer Desktop Workstations and Software
-- Headquarters LAN - Final Hardware Increment
-- Software for LAN
-- Minicomputer Upgrade FY 1991, Lease-to-Purchase

FY 1994 - Addition of 45 users to 260 users

-- 35 Replacement Microcomputer Desktop Workstations and Software
-- Regional Office LANs - Hardware for 3 Offices
-- Software for LANs
-- Minicomputer Upgrade (Lease-to-Purchase)
--- Processor: 2.5 Mips to 5 Mips
--- Memory: 16 Mb to 64 Mb
--- Disk Storage: 8.2 Gb to 15 Gb
--- Tape Device for DASD Backup
--- Communications: I/O Card Unit Upgrade
--- Systems Software: Model Group Upgrade

FY 1995 - Addition to 45 users to 305 users

-- 35 Replacement Microcomputer Desktop Workstations and Software
-- Regional Office LANs - Hardware for 3 Offices
-- Software for LANs
-- Minicomputer Upgrade FY 1994, Lease-to-Purchase

Attachment II

FY 1996 - Addition of 45 users to 350 users

- 35 Replacement Microcomputer Desktop Workstations and Software
- Regional and Suboffice LANs - Hardware for 4 Offices
- Software for LANs
- Minicomputer Upgrade FY 1994, Lease-to-Purchase

Attachment III

ORIGINAL AICIS JUSTIFICATION

BACKGROUND

The OIG is a paper intensive organization. The use of automation for extensive information collection, storage, retrieval, analysis, and then the incorporation of the results into our written products is viewed as a means to greatly enhance our audit/investigative efforts--thereby leading to dramatic productivity gains. Furthermore, since the basic mission of the OIG is to improve the operations of the Department, this translates into dollar savings and/or improvements in Departmental programs. Thus, a productivity gain for the OIG represents savings (both in terms of monetary savings and better program delivery) for the Department.

CURRENT ENVIRONMENT AND DEFICIENCIES

Environment

Since 1985, the OIG has prepared an annual ADP Long-Range Plan, focusing on the OIG's automation needs and plans for meeting those needs.

The OIG currently (FY 1988) has 134 microcomputers located throughout Headquarters and the regional offices/suboffices, resulting in a ratio of staff members per microcomputer of about 3.3-to-1. This equipment is used to provide audit and investigative support including word processing, spread sheet analysis, data base analysis, graphic presentations, and personal productivity. In addition, the OIG has 39 word processors used by support staff to prepare reports, official correspondence, and other similar communications. (This represents a ratio of support staff to word processors of about 1.3 to 1.) Furthermore, in 1988, the OIG acquired a minicomputer system to provide support for (1) the development of Computer Assisted Audit Techniques (CAATs), (2) the development of standardized audit/investigative software, (3) multiple concurrent communications sessions with Departmental minicomputer and mainframe computer systems, and (4) operation and software development of the OIG MIS.

Deficiencies

Deficiencies with respect to the current environment result from our (1) lack of sufficient numbers of microcomputer desktop workstations, (2) mixed microcomputer/word processing hardware environment, which does not allow the use of compatible software, and (3) obsolescence or approaching obsolescence of our word processors and portable microcomputers. Specifically, our word processing equipment is obsolete, and not capable of running newer, integrated software products, office automation software, communications software, etc. Further, 51 of our current inventory of 57 portable microcomputers are between 5 and 7 years old--quickly approaching obsolescence.

Attachment III

BASIC AUTOMATION STRATEGY & PROPOSED SOLUTION

Strategy

The OIG's overall strategic automation objective has not changed since the development of the original ADP Long-Range Plan in 1985--to provide integrated automation tools to all audit, investigative, and management personnel in order to improve staff productivity. These tools, which include word processing, spread sheet analysis, data base analysis, graphic presentations, and personal productivity, will further support the OIG's mission by allowing effective and efficient access to all types of Departmental computer systems. This integration will allow an auditor or investigator to access Departmental information from his/her local workstation regardless of where that information is stored. This transparent access will be accomplished through communications software and networking capabilities. In addition, this integrated environment will support the fourth-generation language used for the OIG MIS and CAATs used by the ADP Technical Support staff. Thus, by integrating its principle functions into this set of related hardware and software, the OIG will be able to achieve maximum utilization of all automation resources and provide fully compatible backup for all staff. Finally, the OIG will make full use of Departmental initiatives in microcomputer and mainframe hardware, software, and communications resources to ensure integration of all OIG components and compatibility with Departmental resources. Specifically, we plan to fully utilize the Department's OATS initiative to accomplish our automation project (recently designated as the AICIS Project).

Proposed Solution

Consistent with the 1985 ADP Long-Range Plan, the OIG's solution for integrating the audit, investigative, and management support functions is to make more microcomputer desktop workstations available to staff members, and provide them with a networked micro/minicomputer-based office automation software product. AICIS was recently designated as an official OIG project, requiring specific budgetary funding. AICIS, beginning with a Headquarters test of an office automation software product and a significant procurement of microcomputer desktop workstations, will be initiated in early FY 1990. Full Headquarters implementation is then planned to occur in FY 1991, with the installation of additional microcomputer desktop workstations, upgrades to the OIG's existing minicomputer, and the introduction of LANs in Headquarters offices. This would be followed in FY 1992 with the installation of additional microcomputer desktop workstations and LANs, which have office automation interface software, in the regional offices. In FY 1993, required minicomputer upgrades and another significant procurement of microcomputer desktop workstations would occur. Installation of LANs in the regional suboffices would follow in FY 1994.

When totally implemented in FY 1994, the OIG will have reduced the office's ratio of staff members per microcomputer to 1.3-to-1, and replaced our obsolete word processors. Thus, the OIG's overall staff member to microcomputer ratio will provide one workstation for every GM-13 and above employee, one workstation for every support person, and one workstation for every two GS-12 and below employees. In addition, there will be one portable microcomputer for every two audit/investigative teams in both Headquarters and the field, for use at remote/travel locations.

AICIS IMPLEMENTATION PLAN

The AICIS project consists of the phased addition of OIG staff as users of the OIG minicomputer through the use of (1) existing and new microcomputer desktop workstations, (2) new LANs (gateways to the OIG minicomputer, and local automation and print support), (3) corresponding upgrades to the OIG minicomputer, and (4) network access. This is expected to result in an increase in the concurrent user rate for the OIG minicomputer from the FY 1990 estimated rate of 50 users to 350 users by FY 1994.

The new equipment to be purchased over this period consists primarily of microcomputer desktop workstations which will be configured in LANs. The LANs will provide local processing support, taking advantage of site licensed software cost reductions. These LANs--including processor, memory, disk storage, and printer support--will be sized according to the number of users: large (up to 32 users), medium (up to 16 users), or small (up to 8 users). In addition, these LANs will serve as network communications gateways to provide access to the OIG minicomputer which in turn serves as a network control point to route OIG users to other Departmental computer systems.

Other purchases during this period will consist of integrated automation software tools to support the purchased microcomputer desktop workstations and some limited OIG minicomputer upgrades. The upgrades to the OIG minicomputer will be phased, so that as each increment of approximately 100 new users is added, the capacity of the minicomputer will be increased to that support level. These upgrades will consist of system software, processor, main memory, disk and tape storage, and input/output and communications upgrades.

Benefits

The benefits to be derived from this initiative include (1) ability to perform more comprehensive and complex audits/investigations (some of which would be impossible to undertake without these tools), (2) greatly enhanced OIG-wide office automation and communications capabilities, and (3) very significant improvements in OIG reporting presentation and timeliness.

The use of computer technology has already significantly increased the quantity and quality of our audit and investigative work. We very effectively use CAATs to independently retrieve and analyze very large modal, state, contractor, etc., data bases. In addition, we routinely download extracts or samples from these large data bases to microcomputers for further analysis by audit and investigative staff. The resulting reports are thus more comprehensive as a result of this computer-based data analysis, and can be completed much more quickly. (In some cases, the projects could not otherwise have been done.) Specific accomplishments achieved as a result of our initiatives since 1985 are many--four examples are as follows:

- Portable microcomputers were used on a number of airline claim audits to prepare, verify, and calculate schedules of revenues and expenses relating to passenger claims. The portability of the microcomputer allowed its use by the auditors at numerous field sites. This expedited the audit work and eliminated the need to manually record and analyze a significant amount of data.

- After extracting data from the Federal Highway Administration (FHWA) fiscal system for development of a universe of Federal-aid projects, a representative sample of active projects was taken and used in reviewing FHWA's overall management of the Rail-Highway Crossing Program. Using a combination of mainframe and microcomputer technology, the auditors comprehensively reviewed a statistically valid sample of Federal-aid projects, and projected the results to the universe.

- Investigators obtained detailed bank account information of various individuals suspected of participating in financial kick-backs on Federal highway projects. The information was loaded into a microcomputer data base, and analyzed to establish a chain of financial relationships between the various suspects. This use of microcomputer technology allowed the rapid retrieval of all interrelated financial transactions, and the information produced formed the basis on which significant judicial actions were taken, including the indictment and subsequent guilty plea of a very high-ranking state government official.

- Statistically valid samples of data were extracted from three Federal Aviation Administration (FAA) master files (master inventory, demand master, and inventory management files) to: (1) validate the accuracy of the data in the master files by physically inspecting inventories at FAA warehouses and (2) analyze FAA's automated inventory re-order formulas to determine their reliability. In addition, audit staff developed a model to calculate the holding costs being incurred by FAA in maintaining excess inventories. Due to the large volumes of data and complexity of the inventory analyses required, this type of evaluation could not have been performed without the use of mainframe and microcomputer technology.

Attachment III

Thus, considering the OIG's mission--to improve Departmental operations--these productivity improvements should translate into dollar savings for the Department since more comprehensive audits and investigations can be performed with the same number of staff members.

Automated Data Processing (ADP) Security and Computer Systems Integrity

In accordance with the Computer Security Act of 1987 (P.L. 100-235), the OIG has designated three computer systems as sensitive, and has prepared specific ADP Security Plans for each of these systems. As described in the plans, the initial design/implementation of each system incorporated ADP security and computer systems integrity as an integral system feature. ADP security and computer systems integrity (including computer security awareness training) are thus embedded in our AICIS project and in our ADP operating budget, which includes ADP training--accounting for a total of $104,000.

Office of
INSPECTOR GENERAL

SUMMARY REPORT ON DEPARTMENTWIDE AUDIT OF CONTRACTED ADVISORY AND ASSISTANCE SERVICES

REPORT NUMBER: AV-OT-0-020

DATE ISSUED: January 4, 1990

U.S. Department of Transportation
Office of the Secretary of Transportation

U.S. Department of Transportation
Office of the Secretary of Transportation
Office of Inspector General

Memorandum

Subject **INFORMATION**: Summary Report on Departmentwide Audit of Contracted Advisory and Assistance Services Report No. AV-OT-0-020

Date January 4, 1990

From Raymond J. DeCarli
Assistant Inspector General For Auditing

Reply to Attn of JA-20:366-4165

To Assistant Secretary for Administration

I. INTRODUCTION

This is our summary report on the Departmentwide audit of contracted advisory and assistance services (CAAS). Separate audit reports containing appropriate recommendations were issued to each Departmental Administration (see Appendix A). The objectives of the audit were to evaluate the Department's progress in establishing effective management controls and improving the accuracy, proper coding, and completeness of information on CAAS provided to the Federal Procurement Data System (FPDS). The audit was also a review of the implementation of the Office of Management and Budget (OMB) Circular A-120, Guidelines for the Use of Advisory and Assistance Services.

A. Background

OMB Circular A-120 establishes policies, assigns responsibilities, and sets guidelines to be followed by executive branch agencies in determining and controlling the use of advisory and assistance services obtained by contract from individuals and organizations. The agencies are to ensure that such services are appropriate and necessary and are reported to the FPDS. The Circular was revised January 4, 1988, to expand its coverage from consulting services to advisory and assistance services. Consulting services were defined as purely advisory and evaluative services. Advisory and assistance services are defined in the current revision as those which support or improve agencies' policy development, decision making, management, and administration or support or improve the operation of management systems. The services may take the form of information, advice, opinions, alternatives, conclusions, training, or direct assistance. The provisions of the revised Circular were included in DOT Order 4200.15A on September 6, 1989. OMB is considering another revision to the Circular which is intended to clarify the definition of CAAS and achieve consistency among the agencies in classifying such services.

Title 31, United States Code, Section 1114, requires the Inspectors General to make annual evaluations of the progress that agencies are making to improve the accuracy of the FPDS and to control the use of advisory and assistance services obtained by contract. The results of the Inspectors General reviews are to be included in the agencies' respective annual budget submissions.

B. Scope of Audit

The audit covered 5,348 contracts, modifications, and task orders (contractual activities), valued at $2 billion, which were issued by the Department during Fiscal Year (FY) 1988. We selected 352 contractual activities valued at $352.97 million for review based on product services codes established under the Federal Acquisition Regulations (FAR) which define the types of services or products to be obtained under each contract. The 352 contractual activities were reviewed to determine whether management controls and procedures were in accordance with OMB Circular A-120. The controls include approval, justification, work statement, competitive procurement, conflict of interest warning, and performance monitoring and evaluation. We also reviewed the contractual activities to determine whether management controls were adequate to assure that those services meeting the definitions of the Circular were properly coded and reported in the Department's Contract Information System (CIS) and the FPDS.

The Departmental Administrations included in the review were the Office of the Secretary (OST), Federal Aviation Administration (FAA), Federal Railroad Administration (FRA), Federal Highway Administration (FHWA), Maritime Administration (MARAD), National Highway Traffic Safety Administration (NHTSA), Research and Special Programs Administration (RSPA), St. Lawrence Seaway Development Corporation (SLSDC), United States Coast Guard (USCG), and Urban Mass Transportation Administration (UMTA). The audit was performed in accordance with Government Auditing Standards prescribed by the Comptroller General and included a review of such policies, procedures, records, reports, and other documents as considered necessary in the circumstances.

C. Prior Audit Coverage

We issued nine reports on audits of consulting service contracts, which covered contractual activities during FYs 1986 and 1987.

Report Number	Date
AV-MA-8-017	April 25, 1988
AV-UM-8-018	April 25, 1988
AV-NH-8-019	April 25, 1988
AV-OS-8-020	April 25, 1988
AV-FR-8-032	August 15, 1988
AV-CG-8-035	September 2, 1988
AV-FA-8-036	September 2, 1988
AV-FH-8-037	September 2, 1988
AV-RS-8-038	September 2, 1988

The first four reports contained no recommendations. The remaining five reports identified 20 contracts, valued at $2,301,970, that had been incorrectly coded and reported in the CIS as consulting services. We recommended that the Departmental Administrations reemphasize the requirement of DOT Order 4200.15 to validate the accuracy of designating contracts as consulting services before entering the data into the CIS and the FPDS and that the necessary corrections be made for the contracts incorrectly reported. The results of the audits were summarized in Report Number AV-OS-9-013, dated December 21, 1988, addressed to the Assistant Secretary for Administration. We recommended that the Assistant Secretary reemphasize the requirements of DOT Order 4200.15 to improve the accuracy of the CIS printouts. Management took appropriate corrective actions to implement the recommendation.

II. RESULTS OF AUDIT

Our review showed that the Department has adequate written procedures on the use of consulting services and CAAS as well as documentation of its determinations of whether or not contractual activities were for such services. However, improvements can be made in classifying, documenting, and approving contractual activities in accordance with the definitions and requirements in the revised OMB Circular A-120.

Seven of the ten Departmental Administrations did not accurately identify, document, and report all contractual activities in accordance with the definitions of the revised OMB Circular A-120. The definitions of CAAS actions were not clearly interpreted or fully implemented. From our sample of 352 contractual activities, valued at $352.97 million, 85 activities, valued at $80.49 million, met the Circular's definitions as consulting services or CAAS. The problems noted in the Administrations are identified in Exhibit A to this report.

Three Administrations miscoded and incorrectly reported 20 contractual activities, valued at $1.82 million, as CAAS which did not meet the definition of the Circular. Exhibit A, Note 1, identifies the Departmental Administrations in which this problem was found and Exhibit B contains a list of the 20 contractual activities. In addition, five Administrations miscoded and incorrectly reported 75 contractual activities, valued at $79.3 million, as non-CAAS which met the definitions of the Circular (see Exhibit A, Note 2, and Exhibit C). Also, 29 contract files were identified at FAA and NHTSA which lacked one or more pieces of the documentation required by the Circular to provide assurance that management controls had been implemented (see Exhibit A, Note 3, and Exhibit D). Lastly, three contractual activities, valued at $1.04 million, were issued by USCG which had not been approved at the level required by the Circular for CAAS activities (see Exhibit E).

The problems noted in this review can be attributed to a number of reasons. In the cases of FRA, MARAD and RSPA, the miscoding appeared to be simply a matter of misinterpreting the circular. Officials at these Administrations agreed with our determinations and indicated that the coding and reporting in the CIS and FPDS would be corrected. Thus, no recommendations were made in their reports, and the coding will be verified during the next audit of CAAS. At four other Administrations where problems were found in correctly identifying and reporting consulting services and CAAS contractual activities, FAA, NHTSA, UMTA, and USCG, officials took the position that the revised Circular was not in effect until September 1989, when DOT Order 4200.15A was issued. However, Departmental officials stated that the revised Circular had been distributed to the Departmental Administrations in January 1988 and, as indicated in the Circular, was considered to be effective at that time. Further, NHTSA and UMTA concluded that only contractual activities which impacted directly on policy-making or decision-making were reportable. The revised Circular defines CAAS as management and professional support services in the form of advice or direct assistance to ensure more efficient or effective operations of managerial, administrative, or related systems. The contractual activities we determined to be consulting services or CAAS met the Circular's definitions and should have been reported. Audit reports to the Departmental Administrations recommended that additional emphasis be placed on the requirements of the Circular for accurately determining and reporting CAAS in the CIS and the FPDS.

Exhibit D lists 29 contract files that did not contain documentation to demonstrate that certain management controls had been implemented and Exhibit E lists three contractual activities, valued at $1.04 million, for which required approvals had not been obtained and established procedures had not been followed. Thus, we recommended that additional emphasis be placed on the requirements to adequately document procurement files and obtain necessary approvals for CAAS contractual activities.

We also identified 1,001 contractual activities issued by the Department in FY 1988 and valued at $107.86 million that were not included in the CIS. Since the CIS forms the basis for input of data into the FPDS, the FPDS is also inaccurate. The Office of Inspector General is currently performing an overall audit of the CIS. The audit results will be presented in a separate report.

III. ACTION REQUIRED

Since the individual reports issued to the Departmental Administrations contained the appropriate recommendations, we have not made any recommendations in this report. A response under DOT Order 8000.1C is not required.

#

EXHIBIT A

SCHEDULE OF REPORTS ISSUED
FY 1988 CAAS ACTIONS

ADMINISTRATION	REPORT NO.	DATE	NOTE
FAA	AV-FA-0-019	12/29/89	2*, 3
FHWA	AV-FH-0-007	11/08/89	6
FRA	AV-FR-0-008	11/09/89	2
MARAD	AV-MA-0-016	12/27/89	1*, 5
NHTSA	AV-NH-0-018	12/27/89	2*, 3
OST	AV-OS-0-010	11/13/89	6
RSPA	AV-RS-0-006	10/31/89	1*
SLSDC	AV-SL-0-005	10/27/89	6
USCG	AV-CG-0-017	12/27/89	1, 2, 4, 5
UMTA	Draft Report	12/15/89	2

NOTES:

1. Contractual activities were miscoded and incorrectly reported in the CIS and the FPDS as consulting services or CAAS.

2. Contractual activities were miscoded and incorrectly reported in the CIS and the FPDS as not being consulting services or CAAS.

3. Contract files lacked one or more pieces of documentation required by OMB Circular A-120 to provide assurance that management controls had been implemented.

4. Approval for CAAS contractual activities had not been obtained at the level required by OMB Circular A-120.

5. Federal regulations had not been adhered to in obtaining personal services.

6. No findings or adverse conditions were identified during the audit.

* Departmental Administration officials agreed with our determinations and to correct the miscoding and reporting in the CIS and the FPDS.

EXHIBIT B
(3 Pages)

CONTRACTUAL ACTIVITIES DETERMINED TO BE NONCONSULTING SERVICES OR NON-CAAS, BUT REPORTED AS CONSULTING SERVICES OR CAAS FY 1988

CONTRACT NUMBER	AMOUNT	DESCRIPTION FROM STATEMENT OF WORK
MARITIME ADMINISTRATION		
DTMA95-87-C-70066	$ 22,862	Computer Programmer
DTMA95-86-R-61568	18,115	Dental Assistant
DTMA95-87-C-70067	14,832	Automated Data Processing Project Planner
DTMA95-86-R-61467	17,200	Nurse
DTMA95-87-R-70019	21,875	Marine Machinery Mechanic
DTMA95-87-C-70022	21,000	Administrator for Data Entry
DTMA95-87-C-70305	30,000	Midshipman's Hostess
DTMA95-87-R-70015	59,800	Professor of Marine Transportation
Total - MARAD	$ 205,684	
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION		
DTRS57-88-C-00045	$ 180,314	To perform an in-depth analysis and study of Loran systems operations in the continental U.S., including substantiated recommendations for changes in the Loran system needed to optimize its use in the National Airspace System. (Exclusion I-5)
UNITED STATES COAST GUARD		
DTCG2583C00060	$ 93,858	To perform all services required for planning surveys, site and soil investigations, sheet pile bulkhead investigation, design, plans, and specifications.

EXHIBIT B

DTCG8088C00005	$ 213,067	To repair and drydock Coast Guard Cutter White Pine.
DTCG2388R10144	66,136	To replace portions of the computer systems at Communications Station San Francisco with maintainable equipment capable of controlling the upgraded transmitter and antenna matrices. This will involve the addition of hardware and software.
DTCG2388A10041	548,880	To provide the detailed requirement Task Order 1 analyses, the development and implementation of the physical relational data base schematic, and the maintenance of the corporate data base related to the distributed computer system.
DTCG2388A10041	173,802	To provide a link between the Systems Task Order 2 Index Interactive Access Tool and the Large Unit Financial System.
DTCG2388A10041	67,320	To provide continued development of Task Order 3 new computer application to support reporting of abstracts of operations data and summaries for USCG's boats, aircraft, and cutters.
DTCG2388A10041	33,482	To complete the source code development Task Order 5 of Search and Rescue Computer-Assisted Planning System, validate its entire operation, document the system, and support its introduction to the National Search and Rescue School and operations centers.

EXHIBIT B

DTCG2388D10063	$ 96,214	To provide services as specified for maintenance and repair training of AN/UYK-7 and OJ-172 Data Exchange Auxiliary Console.
DTCG2387D10050	54,850	To provide a training program to adequately train Coast Guard personnel to safely and efficiently operate and maintain VC-4A aircraft.
DTCG2387D10054	47,425	To provide a maintenance and pilot training program for VC-11A aircraft.
DTCG2388C10125	39,818	To provide support services for the boating safety hotline, including full-time operator, mail, reproduction, telephone, printing, and an optional added operator.
Total - USCG	$1,434,852	
Total - DOT	$1,820,850	

EXHIBIT C
(11 pages)

CONTRACTUAL ACTIVITIES DETERMINED TO BE CONSULTING SERVICES OR CAAS BUT NOT PROPERLY CODED AND REPORTED

FY 1988

CONTRACT NUMBER	AMOUNT	DESCRIPTION FROM STATEMENT OF WORK
FEDERAL AVIATION ADMINISTRATION		
DTFA88-Y-01073	$ 193,748	To provide the necessary technical and support services concerning air-to-ground and ground-to-ground communications between users and specialists and between specialists and specialists. To develop reports identifying the approach, accomplishments, problems and expected progress.
DTFA88-Y-01035	189,670	To conduct a program to independently survey and study the public perception of FAA's effectiveness in mission operations and providing services.
DTFA88-Y-01046 Mod. 1	125,000	To provide technical, analytical and support services to the Aircraft Manufacturing Division, Office of Airworthiness, in the conduct of the National Safety Inspection Program.
DTFA87-Y-01066 Mod. 2	111,552	To assist FAA in identifying, evaluating, and analyzing potential airport and airspace operating alternatives aimed at increasing capacity, decreasing delay, and improving the overall efficiency of the air traffic system utilizing the Airport/Airspace Delay, and Fuel Consumption Simulation Model.
DTFA88-C-00020	108,260	To convene a seminar of international specialists to discuss occupant survival in aircraft emergencies. To examine, analyze, and draft a report from information gathered at the seminar.

EXHIBIT C

DTFA88-C-00036	$ 93,000	To provide consulting services for research and written materials to be used as a base for the aviation awareness initiative of the Impact 88 Program.
DTFA86-Y-01011 Mod. 5	1,750,000	To provide technical and management support for the Mode S including specification development, proposal evaluation, production contract award, design reviews/tracking, integration/system testing, sensor delivery, installation and acceptance.
DTFA86-Y-01010 Mod. 6	542,610	To provide technical and management support services for the Microwave Landing System including documentation, acquisition, siting, maintenance and logistics, training, system improvement, and information program development and implementation.
DTFA88-Y-01075	149,820	To develop Logistic Service's Position Management/Career Management Program. This includes conducting a thorough job analysis, preparing new position descriptions, preparing a position management report, and designing a prototype career development system.
DTFA88-Y-01006	59,918	To provide technical support, demonstrations, and design and install of a local area network connecting microcomputers, file servers, printers, and other associated hardware within the Human Resource Management Branch.
DTFA85-Y-01019 Mod. 15	22,185	To conduct a series of training sessions for understanding and maximizing the Technical Support Services Contract and its handbook.

EXHIBIT C

DTFA84-C-00017 Mod. 43	$39,000,000	To provide system engineering and integration for implementation of the National Airspace System.
DTFA84-C-00001 Mod. 26	20,146,529	To support (1) the development of improved data link services, (2) the development of the collision avoidance logic for the Traffic Alert and Collision Avoidance System, (3) the improved surveillance and weather channel sensor and integration, (4) the advanced Microwave Landing Systems procedures, (5) the management of the National Airspace System's Interfacility Communications System, and (6) the Flight Service Automation System project.
DTFA87-Y-01026 Mod. 4	1,030,800	To provide technical and analytical support to FAA in its efforts to maintain required levels of automated data processing (ADP) service while upgrading or replacing all management information host computer facilities.
DTFA88-Y-01066	399,288	To develop realistic and meaningful staffing standards for the National Airspace System.
DTFA87-Y-01055 Mod. 5	175,175	To prepare and implement a comprehensive data quality plan model for aviation safety and medical data bases. To develop methodology and criteria for incorporating quality control in the development of future data bases.
DTFA88-Y-01086	134,841	To support the planning of a system which will meet the near-term requirements and provide sufficient capacity to develop and implement future enhancement for the Notice to Airmen processing by providing program resource and cost estimates.

EXHIBIT C

DTFA87-C-00014 Mod. 11	$ 123,376	To develop new and/or revised procedures and standards for managing the flow of rotorcraft into, through, out of, between, and within the terminal areas.
DTFA88-Y-01024	65,000	To provide technical support services for computer aided design including data base development, verification of configuration drawings of a project management plan, a configuration management plan, and project methodology.
DTFA88-Y-01045	692,988	To independently identify valid safety indicators and develop the methodology for system implementation. This includes studying near midair collisions, doing a feasibility study and cost/benefit analysis concerning safety indicators, developing a safety indicator system and operating and maintaining an ADP system for the safety indicator system.
DTFA85-Y-01035 Mod. 2	156,117	To provide management and engineering support to the Flight Service Automation System Program manager.
DTFA85-Y-01042 Mod. 5	149,922	To perform advanced analyses, methodological determinations, and associated services concerning FAA ADP and time-sharing cost saving procedures.
DTFA86-Y-01010 Mod. 5	942,974	To provide technical and management support services for the Microwave Landing System including documentation, acquisition, siting, maintenance and logistics, training, system improvement, and information program development and implementation.
Total - FAA	$66,362,773	

EXHIBIT C

FEDERAL RAILWAY ADMINISTRATION

DTFR53-87-C-00028	$ 23,500	To analyze and evaluate expense projections in an application for FRA funds in order to assist in FRA's assessment of the applicant's long-term financial viability.

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

DTNH-22-88-C-07310	$103,065	To furnish all necessary items to complete a project entitled "A Cost/Benefit Analysis of Administrative License Suspensions." The contractor is to assess costs, cost savings, and other benefits associated with implementing this program in three states.
DTNH-22-85-D-05180	119,968	To provide technical assistance services in support of NHTSA's Public Information Program to assist states, local and civic organizations in increasing awareness of drinking driver consequences. The contractor is to develop brochures, public services announcements, and a marketing campaign.
Task Order 14		
Task Order 15	2,582	
Task Order 16	74,807	
Task Order 17	56,000	
Task Order 19	73,993	
Task Order 20	69,478	
Total - NHTSA	$499,893	

URBAN MASS TRANSPORTATION ADMINISTRATION

DTUM60-88-C-41029	$ 170,000	To perform analyses, studies, and assessments of transit vehicle subsystems and fixed-transit facilities, including stations, maintenance, and equipment utilized in such facilities.
DTUM60-85-C-71278 Mod. 8	140,000	To analyze, plan, monitor, assess, document, and manage project activities; conduct market, economic, industry and technology studies; and interact and coordinate activities with the transit industry.

EXHIBIT C

DTUM60-88-C-41033	$ 1,429,879	To assess and develop local plans for transit capital installations,collect data and review regional transportation goals, and perform financial analyses of capital finance and operating requirements.
DTUM60-88-C-41012	95,975	To prepare a comprehensive review of all Federally-funded studies and state and local planning agencies regarding the reverse commute factor, conduct interviews with UMTA officials on the reverse commute factor, and recommend strategies and policy steps to UMTA.
DTUM60-88-C-41032	450,000	Same as above.
DTUM60-88-C-41030	300,000	To perform analyses, studies, and assessments of transit vehicles, vehicle subsystems, and fixed-transit facilities. Conduct an economic, technical, and market assessment of potential for guide bus technology in the United States. Develop, test, and evaluate procedures for a new system.
DTUM60-88-C-41003	144,762	To review all pertinent UMTA requirements regarding minority financial institution (MFI) utilization. Conduct reviews, evaluations, and analysis on the financial capabilities of each MFI.
DTUM60-88-C-41026	99,717	To develop data collection methodology to examine costs and benefits of implementing a new program. Assist UMTA in designing and implementing the gain-sharing demonstration program and collect and analyze data elements in the program.
DTUM60-86-C-71297 Mod. 3	650,000	To administer and implement the Private/ Public Transportation Network and conduct analyses for program recommendations.

EXHIBIT C

DTUM60-88-C-41011	$ 37,401	To review and evaluate UMTA's financial management system including audit analysis, evaluation of internal controls, and workpaper and report preparation.
DTUM60-84-C-71263 Mod. 14	138,387	To support the Transportation Systems Center (TSC) and UMTA in variety of tasks associated with reviewing transit industry practices and capabilities and reviewing operations, planning, and management tools either in use or under development.
DTUM60-84-C-71259 Mod. 16	50,000	Same as above.
DTUM60-82-C-72124 Mod. 3	50,627	To make recommendations for specific activities and strategies for augmenting the PMS program's technology transfer efforts including analysis, planning, and development of a data base.
DTUM60-84-C-71259 Mod. 13	50,000	To collect data on forecast and actual ridership, capital and operating costs, and financing plans. Obtain information on the analysis techniques used, the input data, and key assumptions. Summarize the data collected and show differences between actual and forecasted performance.
DTUM60-88-C-41027	88,025	To analyze the Southeastern Pennsylvania Transit Authority procurement system, assess its adherence to sound procurement principles, disclose deficiencies, and make recommendations in a formal written report.
DTUM60-88-C-41010	107,527	To analyze, review, and evaluate transit labor costs and the impact of labor contract provisions. Develop strategies for reducing labor costs.

EXHIBIT C

DTUM60-84-C-71264 Mod. 12	$ 50,000	To conduct profiles that will provide specific examples of how the life-styles and levels of handicapped persons appear to be affected by public transportation services. Based on information acquired, make recommendations for alternative solutions to the provision of transportation services to elderly and handicapped persons.
DTUM60-84-C-71262 Mod. 13	100,000	To evaluate the social and economic cost to society of not providing specialized transportation services to the elderly and handicapped.
DTUM60-88-C-41005	149,802	To develop a management plan to serve as a comprehensive guide for all project activities. Develop the criteria for the selection of Disadvantaged and Woman's Business Enterprise (DBE/WBE) firms. Develop indepth examination of the selected transit properties.
DTUM60-88-C-41031	86,917	To develop a guidance manual to set forth procedures and methods for assessing noise and vibration impact from mass transportation projects. Analyze and evaluate techniques sensitive to the different noise characteristics of transit modes.
DTUM60-88-C-41017	100	To monitor activities of the grantee, including interviews. Document reviews, observations, examination of records and test data, and analysis of information to determine grantee project implementation.
DTUM60-86-C-71310 Mod. 4	862,202	Same as above.
DTUM60-86-C-71325 Mod. 4	399,419	Same as above.
DTUM60-87-C-71325 Mod. 1	156,692	Same as above.
DTUM60-88-C-41021	100	Same as above.

EXHIBIT C

DTUM60-86-C-71311 Mod. 6	$ 3,992,986	Same as above.
DTUM60-85-C-71282	37,265	Same as above.
DTUM60-86-C-71312 Mod. 4	397,782	Same as above.
DTUM60-88-C-41023	100	Same as above.
DTUM60-88-C-41024	100	Same as above.
DTUM60-84-C-71251	199,995	To provide technical support services in the program area of pricing and marketing. Develop criteria and make recommendations on private sector initiatives. Prepare and submit studies and analyses with recommendations for Government action.
DTUM60-88-C-41013	130,482	To develop and implement technical assistance program operations to aid the small business entrepreneur in identifying and developing self-sustaining transportation services and competing for contracting opportunities.
DTUM60-86-C-71303 Mod. 8	121,893	To redesign the Letter of Credit System and implement the newly designed system on a local area network in the office of Budget and Financial Management. Perform parallel testing and conversion of the Letter of Credit Subsystem from Transportation Systems Center's main frame.
DOT-UT-90007 Mod. 16	360,000	To collect and analyze data, determine causes, and perform general safety investigation. Identify goals, establish criteria, and develop and implement plans and a guideline manual.
DTUM60-88-C-41002	98,525	To develop a comprehensive management plan for project implementation. Review all UMTA records and documents

EXHIBIT C

		pertaining to accomplishments. Develop a comprehensive program of technical assistance to each selected Disadvantaged Business Enterprise.
DTUM60-88-C-41006	$ 95,764	To prepare a comprehensive management plan indicating all activities needed to accomplish project objectives. Develop criteria to select grantees to be recipients of the program.
Total - UMTA	$11,242,424	
UNITED STATES COAST GUARD		
DTCG2388C10123	$ 141,869	To provide labor and materials to perform a 270' WMEC Famous Class Medium Endurance Cutter crewing study.
DTCG2388C10077	128,858	To perform study to assess alternative methods of collecting, recording,and reporting personnel shipment and discharge transactions which will also be applicable to the process for obtaining, renewing, and upgrading licenses and documents at USCG Regional Examination Centers.
DTCG2388C30004	68,788	To provide research and analytical support to be used in determining the most cost effective method of crewing the operation of aerostat based radar surveillance systems.
DTCG2388C20041	313,261	To obtain an environmental audit protocol and accompanying guidance manual, training, and hands-on experience to enable future audits by USCG administrative, or related system.
DTCG3884C00161	89,310	To provide a system-oriented technical representative for the HU-25A aircraft.

EXHIBIT C

DTCG3885D00041 Mods. 8, 9, 10, and 11	223,618	To provide two system-oriented manufacturing technical representatives trained and experienced in Garrett ATF 3-6 turbofan engines and GTCP36-100C auxiliary power units installed and utilized in the HU-25A Aircraft.
DTCG3888D00031 Mods. 1 and 2	$ 213, 505	Same as above.
Total - USCG	$ 1,179,209	
Total - DOT	$79,307,799	

EXHIBIT D
(3 Pages)

CONTRACTUAL ACTIVITIES WITHOUT REQUIRED DOCUMENTATION IN THE CONTRACT FILES

FY 1988

FEDERAL AVIATION ADMINISTRATION

CONTRACT NUMBER	MISSING DOCUMENTATION
DTFA84-C-00001 Mod. 26	Conflict of Interest Statement, Statement of Essential Need, Determination & Findings, Commerce Business Daily Advertisement, and Independent Government Estimate
DTFA84-C-00017 Mod. 43	Conflict of Interest Statement and Statement of Essential Need
DTFA85-Y-01019 Mod. 15	Conflict of Interest Statement
DTFA85-Y-01035 Mod. 2	Conflict of Interest Statement, Independent Government Estimate, Sole Source Justification, and Determination & Findings
DTFA85-Y-01042 Mod. 5	Conflict of Interest Statement, Procurement Request, and No Specific Time frames In Statement of Work
DTFA85-Y-01010 Mod. 5	Conflict of Interest Statement, Statement of Essential Need, and Independent Government Estimate
DTFA86-Y-01010 Mod. 6	Conflict of Interest Statement, Statement of Essential Need, Independent Government Estimate, Commerce Business Daily Advertisement and Procurement Request
DTFA87-C-00014 Mod. 11	Conflict of Interest Statement, Statement of Essential Need, Independent Government Estimate, and Determination & Findings
DTFA87-Y-01028 Mod. 4	Conflict of Interest Statement and Independent Government Estimate

EXHIBIT D

DTFA87-Y-01055 Mod. 5	Conflict of Interest Statement
DTFA87-Y-01066 Mod. 2	Conflict of Interest Statement
DTFA88-C-00020	Conflict of Interest Statement, Statement of Essential Need, Independent Government Estimate, Determination & Finding, and Commerce Business Daily Advertisement
DTFA88-C-00036	Conflict of Interest Statement and Statement of Essential Need
DTFA88-Y-01006	Conflict of Interest Statement and Commerce Business Daily Advertisement
DTFA88-Y-01024	Conflict of Interest Statement, Independent Government Estimate, and Commerce Business Daily Advertisement
DTFA88-Y-01035	Conflict of Interest Statement, Independent Government Estimate, and Commerce Business Daily Advertisement
DTFA88-Y-01045	Conflict of Interest Statement and Commerce Business Daily Advertisement
DTFA88-Y-01046 Mod. 1	Conflict of Interest Statement, Independent Government Estimate, Determination & Findings, and Commerce Business Daily Advertisement
DTFA88-Y-01066	Conflict of Interest Statement
DTFA88-Y-01073	Conflict of Interest Statement and Independent Government Estimate
DTFA88-Y-01075	Conflict of Interest Statement, Statement of Essential Need, and Commerce Business Daily Advertisement
DTFA88-Y-01086	Conflict of Interest Statement, Independent Government Estimate, Statement of Work, and Commerce Business Daily Advertisement

EXHIBIT D

NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION

DTNH-22-88-C-07310	Conflict of Interest Statement
DTNH-22-86-D-05180	
Task Order 14	Conflict of Interest Statement
Task Order 15	Conflict of Interest Statement
Task Order 16	Conflict of Interest Statement
Task Order 17	Conflict of Interest Statement
Task Order 19	Conflict of Interest Statement
Task Order 20	Conflict of Interest Statement

EXHIBIT E

CAAS CONTRACTUAL ACTIVITIES FOR WHICH THE APPROVAL WAS NOT OBTAINED AT THE PROPER LEVEL

FY 1988

UNITED STATES COAST GUARD

CONTRACT NUMBER	AMOUNT	DESCRIPTION FROM STATEMENT OF WORK
DTCG2388C10123	$ 141,869	To provide labor and materials to perform a 270' WMEC Famous Class Medium Endurance Cutter crewing study.
DTCG2388C30019	450,000	To provide technical litigation support services necessary for USCG's preparation for the trial and the litigation that is anticipated to arise from the requests for equitable adjustment
DTCG2388C30017	450,000	Same as above.
Total - USCG	$1,041,869	
Total - DOT	$1,041,869	

Public Law 101-121 requires the Inspector General to prepare an annual evaluation of DOT's compliance with legislation concerning the use of public funds for influence pedaling and lobbying. The law, which became effective on December 23, 1989, requires that the Inspector General report any related enforcement actions at the time the agency submits its annual budget justifications to Congress. The Department will initiate action to implement this legislation. This will enable the OIG to perform the required audit and investigative effort. Our first report will accompany our FY 1992 annual budget justification.

U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1991

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

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RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

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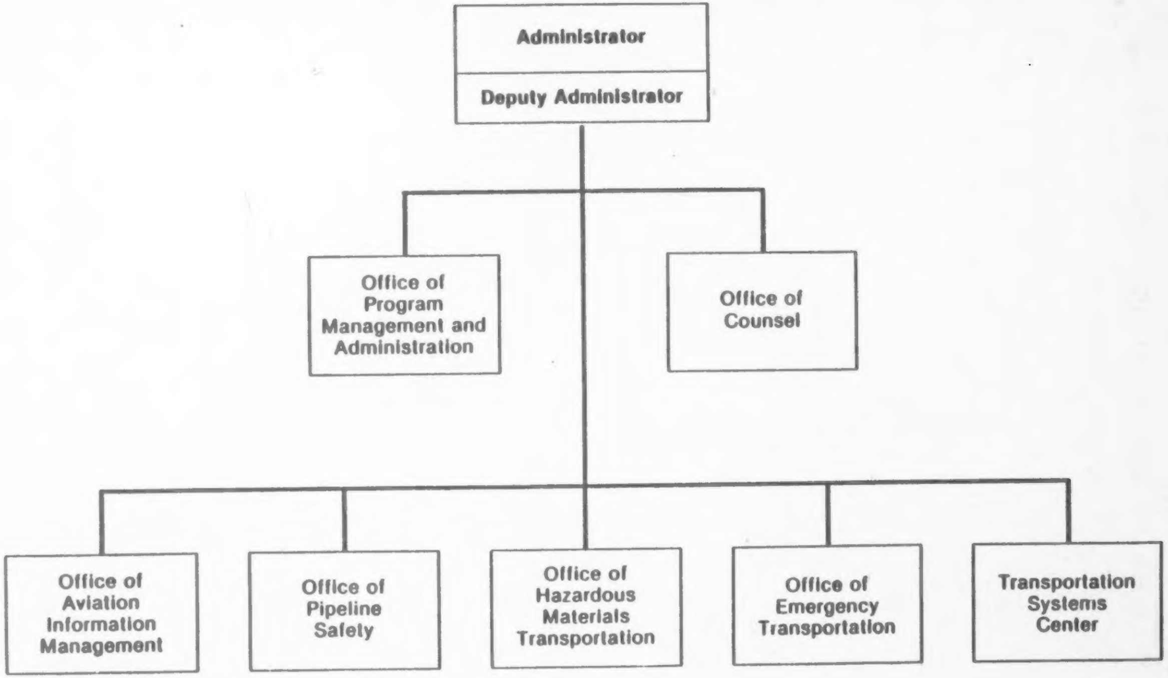
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION


Administrator
Deputy Administrator
Office of Program Management and Administration
Office of Counsel
Office of Aviation Information Management
Office of Pipeline Safety
Office of Hazardous Materials Transportation
Office of Emergency Transportation
Transportation Systems Center

DEPARTMENT OF TRANSPORTATION

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

SUMMARY OF POSITIONS AND BUDGET AUTHORITY (BA)
(Dollars in Thousands)

	POSITIONS			BUDGET AUTHORITY		
	1990	1991	Diff	1990	1991	Diff
Research and Special Programs						
Operations	163	171	8	$15,533	$15,168	($365)
Research and Development	—	—	-	1,625	1,555	(70)
Subtotal	163	171	8	$17,158	$16,723	($435)
Pipeline Safety						
Operations	51	60	9	$5,116	$5,075	($41)
Research and Development	—	—	—	714	725	11
Grants	—	—	—	4,329	5,000	671
Subtotal	51	60	9	$10,159	$10,800	$641
Working Capital Fund (Transportation Systems Center)	518	515	(3)	a/	a/	a/
Total	732	746	14	$27,317	$27,523	$206

a/ The Transportation Systems Center is funded by advances of funds through working agreements from the Office of the Secretary and the operating administrations in the Department.

DEPARTMENT OF TRANSPORTATION

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

Federal Funds

General and special funds:

Research and Special Programs

For expenses necessary to discharge the functions of the Research and Special Programs Administration, and for expenses for conducting research and development, [$17,373,000] $16,723,000, of which [$1,645,000] $1,555,000 shall remain available until expended: *Provided*, That there may be credited to this appropriation funds received from states, counties, municipalities, other public authorities, and private sources for expenses incurred for training, and for aviation information management. (Department of Transportation and Related Agencies Appropriations Act, 1990; additional authorizing legislation to be proposed for $9,639,000.)

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
RESEARCH AND SPECIAL PROGRAMS

PROGRAM AND FINANCING (In Thousands of Dollars)

Identification code 69-0104-0-1-407	19 89 actual	19 90 estimate	19 91 estimate
Program by Activity:			
Direct program:			
1. Operations....................	13,055	15,533	15,168
2. Research and Development.....	1,350	1,923	1,555
3. Grants........................	285	139	
Total direct program.............	14,690	17,595	16,723
Reimbursable program.............	1,461	1,500	1,500
10.00 Total Obligations	16,151	19,095	18,223
Financing:			
Offsetting collections from:			
11.00 Federal Funds....................	(1,325)	(1,400)	(1,400)
14.00 Non-Federal Sources.............	(136)	(100)	(100)
17.00 Recovery of prior year Obligations....................	(592)		
21.40 Unobligated balance available start of year..................	(44)	(437)	
24.40 Unobligated balance available, end of year.........	437		
25.00 Unobligated balance lapsing........................	309		
39.00 Budget Authority................	14,800	17,158	16,723
40.00 Budget authority (appropriation)	14,800	17,373	16,723
40.00 Reduction pursuant to P.L. 99-177		(215)	
43.00 Appropriation (adjusted)........	14,800	17,158	16,723
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	14,690	17,595	16,723
72.40 Obligated balance, start of year........................	2,659	3,315	6,265
74.40 Obligated balance, end of year........................	(3,315)	(6,265)	(6,281)
78.00 Adjustments in unexpired accounts.......................	(592)		
90.00 Outlays..........................	13,442	14,645	16,707

RSPA-4

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RESEARCH AND SPECIAL PROGRAMS

PROGRAM AND PERFORMANCE

The Research and Special Programs Administration (RSPA) serves as a research, analytical, and technical development arm of the Department for multimodal research and development, as well as special programs. Particular emphasis is given to transportation of hazardous cargo by all modes of transportation. In addition, funding is provided for the management and execution of the Office of Aviation Information Management, Office of Emergency Transportation, the Transportation Safety Institute and the Transportation Systems Center.

In 1991, RSPA is proposing an overall staff increase of 8 positions primarily to ensure a more effective Department of Transportation role in hazardous materials transportation safety inspection and enforcement; ensure long-term effectiveness of our aviation data collection activities; ensure the Chief Counsel's support for an increased level of enforcement in both the hazardous materials safety and the transfer of the procurement function from Transportation Systems Center (TSC) to Headquarters.

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
RESEARCH AND SPECIAL PROGRAMS

OBJECT CLASSIFICATION (In Thousands of Dollars)

Identification code 69-0104-0-1-407	19 89 actual	19 90 estimate	19 91 estimate
Direct Obligations:			
Personnel Compensation:			
11.1 Full-time permanent	6,041	6,507	7,457
11.3 Other than full-time permanent	572	600	600
11.5 Other Personnel compensation	13	20	20
11.9 Total personnel compensation	6,626	7,127	8,077
12.1 Personnel Benefits: Civilian	1,106	933	1,076
21.0 Travel and transportation of persons	373	262	250
22.0 Transportation of things	15	9	6
23.1 Rental Payments to GSA	799	1,079	1,214
23.3 Communications, Utilities, and miscellaneous charges	174	188	180
24.0 Printing and reproduction	343	174	174
25.0 Other services	4,927	7,747	5,681
26.0 Supplies and materials	24	38	40
31.0 Equipment	18	38	25
41.0 Grants, subsidies, and contributions	285		
99.0 Subtotal, direct obligations	14,690	17,595	16,723
99.0 Reimbursable obligations:	1,461	1,500	1,500
99.9 Total obligations	16,151	19,095	18,223

PERSONNEL SUMMARY

Total number of full-time permanent positions	156	163	171
Full-time equivalent employment	154 *	173 *	179 *
Full-time equivalent of overtime and holidays hours	1	1	1

* includes non-ceiling FY 1989-7, FY 1990-15, FY 1991-15

RSPA-6

RESEARCH AND SPECIAL PROGRAMS

GENERAL STATEMENT

For FY 1991 the Research and Special Programs (RSP) is requesting $16,723,000 in budget authority and 171 permanent positions. This request for FY 1991 is a decrease of $435,000 in budget authority and and an increase of 8 permanent positions from the FY 1990 level.

Hazardous Materials Transportation

RSP requests an increase of two (2) positions and a net decrease of $766,000 in budget authority for its Office of Hazardous Materials Transportation (OHMT). The increased staff will enable OHMT to improve the effectiveness of the hazardous materials inspection and enforcement program. The requested budget will support OHMT's established program of rulemaking, enforcement, information and analysis, research and development, state and local outreach and emergency response. The majority of the decrease is attributed to not publishing Emergency Response Guidebook in FY 1991 which is updated on a three year cycle.

Emergency Transportation

The Office of Emergency Transportation budget is slightly higher than FY 1990. The FY 1991 budget will be used to support the Secretary's responsibilities for emergency management of the civil transportation sector. The two major areas provided for are (1) assuring the continuity of the Department's organizational structure required to perform essential functions during national emergencies and (2) the planning aspects of emergency resource management with a focus on DOT's role in strategic mobility of the civil economy.

Aviation Information Management

The Aviation Information Management program for FY 1991 ($2,442,000) provides significant data about airline capacity, traffic and industry costs. This data benefits OST and FAA programs for aviation safety, international aviation, and other air transportation economic responsibilities. Aircraft manufacturers, researchers, academics, air carriers, airports, and the traveling public also derive benefits. In FY 1991, RSPA plans to continue implementation and establishment of a single, integrated computer system to replace three existing reporting systems. Rules to modernize data collections in

GENERAL STATEMENT (continued)

view of industry changes will also be pursued. We will also continue to study ways to accommodate code sharing in traffic data, and definitions of passengers and cabin classes under deregulation. Major efforts are planned to modernize and upgrade old, outmoded computer systems to take advantage of new technologies. The work should lead to reduced costs and improved services in data administration and in delivery of ADP projects and services.

Research and Technology

The Office of Research and Technology budget represents a slight decrease from that of FY 1990 ($60,000). The majority of the decrease is attributed to the shift of one position into the Office of the Administrator. The funds will be used to assist in oversight of R & D throughout the DOT, and to provide research information to state and local governments and the transportation community. The office activities include dissemination of studies of multimodal issues, such as handicapped and rural transportation, and joint public-private sector initiatives in transportation. The office is the main provider of Federal research information to the public and private sector as mandated in the enabling DOT Act (P.L. 89-670). The office is also responsible for studies of radionavigation and radiocommunications systems.

Working Capital Fund (OST)

In FY 1991 $2,788,000 from the Research and Special Programs appropriation will finance services provided through the Department's Working Capital Fund.

Consulting Services

In FY 1991 the Research and Special Programs appropriation contains $55,000 for consulting services. The Office of Emergency Transportation has a formal commitment, charged by the Department of State to the DOT, to fill four technical positions in the NATO Civil Aviation Agency (NCAA), one of several NATO Civil Wartime Agencies. These positions are in the crisis response element of the NCAA, the Bureau of Coordination for Civil Aviation (BOCAA), and are purely operational.

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
RESEARCH AND SPECIAL PROGRAMS
DETAIL SUMMARY OF POSITIONS AND BUDGET AUTHORITY (BA) BY ACTIVITY
(Dollars in Thousands)

	1990		1991		Difference	
Activity/Organization	Positions	BA	Positions	BA	Positions	BA
Operations	163	$15,533	171	$15,168	8	($365)
Office of the Administrator	4	$337	5	$460	1	$123
Office of the Chief Counsel	9	521	11	664	2	143
Office of Program Management and Administration	14	1,115	17	1,400	3	285
Office of Aviation Information Management	22	2,610	23	2,442	1	(168)
Office of Emergency Transportation	10	900	10	999	0	99
Office of Hazardous Materials Transportation	97	9,370	99	8,594	2	(776)
Office of Research and Technology	7	680	6	610	(1)	(70)
Research and Development	---	$1,625	---	$1,555	---	($70)
Hazardous Materials Transportation	---	$1,115	---	$1,125	---	$10
Emergency Transportation	---	220	---	130	---	(90)
Research and Technology	---	290	---	300	---	10
GRAND TOTAL	163	$17,158	171	$16,723	8	($435)

OPERATIONS

SUMMARY STATEMENT

The Operations Activity portion of the Research and Special Programs appropriation finances the Administration's salaries and expenses as well as the central supervisory and management functions including a data processing, reporting, and analysis system necessary for overall planning and direction of the Administration. This activity also includes the management and execution of transportation programs involving hazardous materials, national emergency plans/preparedness, safety, security training, and planning and developing transportation statistics and aviation information management data. In fiscal year 1991, RSPA's budget continues to support the Department's emphasis on safety. Personnel costs for each office include funds for a 3.5% pay raise effective January 1, 1991. At the appropriation level, 50% of the costs are included and 50% has been absorbed thereby reducing other objects.

OPERATIONS

OFFICE OF THE ADMINISTRATOR

	FY 1990	FY 1991	Difference
Permanent Positions	4	5	+1
Personnel Compensation & Benefits	$260,000	$377,000	$+117,000
Administrative Costs	77,000	83,000	+6,000
Total Operations	$337,000	$460,000	$+123,000

MISSION

The Administrator is responsible for the executive direction of the RSPA and for the establishment and overall implementation of Administration policy. The Deputy Administrator assists the Administrator in the executive direction of RSPA.

STAFFING

The following table shows the distribution of staff within the Administrator's office. This staffing is considered to be the absolute minimum necessary to properly manage and respond to all matters of the Administration.

	FY 1990	FY 1991	Difference
Administrator	1	1	---
Deputy Administrator	-	1	+1
Executive Assistant to the Administrator	1	1	---
Secretaries	2	2	---
	4	5	+1

OPERATIONS

OFFICE OF THE ADMINISTRATOR

RESOURCES

Administrative Costs

	FY 1990	FY 1991	Difference
Travel & Transportation	$8,000	$8,000	---
Transportation of things	---	---	---
Rental Payments to GSA	39,000	40,000	$+1,000
Training		2,000	+2,000
Communications, Utilities and Misc. Charges	12,000	12,000	---
Printing and Reproduction	1,000	1,000	---
Supplies and Materials	1,000	1,000	---
Equipment	1,000	---	-1,000
Other Working Capital Fund	15,000	19,000	+4,000
Total	$77,000	$83,000	$+6,000

JUSTIFICATION

The increase of $117,000 in Personnel Compensation and Benefits is for the shifting of one position from the Office of Research and Technology to the Administrator's office and for within-grade increases, performance awards, the Federal Employees Retirement System (FERS), health benefits, the annualization of FY 1990 General pay increase and three quarters of the FY 1991 general pay raise. The one position was previously shown in the Office of Research and Technology because the Science Advisor also acted as the Deputy Administrator. The net change is zero, a reduction of 1 in the Office of Research Technology and an increase of 1 in the Administrator's office.

The increase in administrative costs of $6,000 is caused by general adjustments in the administrative categories of Rental Payments to GSA, the Working Capital Fund, and a reduction in equipment. Also training for the immediate office staff has been added.

OPERATIONS

OFFICE OF CHIEF COUNSEL

	FY 1990	FY 1991	Difference
Permanent Positions	9	11	+2
Personnel Compensation and Benefits	$422,000	$547,000	$+125,000
Administrative Costs	99,000	117,000	+18,000
Program	---	---	---
Total	$521,000	$664,000	$+143,000

MISSION

The Chief Counsel and his staff provide legal services to the Administrator, the Office of the Secretary, and the various headquarters elements and field offices within RSPA. The services provided support primarily the hazardous materials and pipeline safety regulatory programs, and include procurement, regulation, enforcement, legislation, and litigation.

RESOURCES

Administrative Costs -	FY 1990	FY 1991	Difference
Travel	$2,000	$7,000	$+5,000
Transportation of Things	1,000	---	-1,000
Rental Payments to GSA	64,000	66,000	+2,000
Training		4,000	+4,000
Communications, Utilities and Misc. Charges	13,000	13,000	---
Printing and Reproduction	2,000	2,000	---
Supplies and Materials	1,000	1,000	---
Equipment	---	---	---
Other Working Capital Fund	16,000	24,000	+8,000
Total	$99,000	$117,000	$+18,000

OPERATIONS

OFFICE OF CHIEF COUNSEL

JUSTIFICATION

The increase of $125,000 in Personnel, Compensation and Benefits is for within-grade increases, performance awards, the Federal Employees Retirement System (FERS), health benefits, annualization of the FY 1990 General pay increase, the increase in staffing of two positions and three quarters of the FY 1991 general pay raise. Two attorney positions are necessary to provide support for (1) the increased level of enforcement in both the hazardous materials safety and the pipeline safety programs, (2) the transfer of RSPA's procurement function from TSC to headquarters, and (3) the increased demand in other areas. The enforcement workload increase can be projected from fiscal year 1988 productivity figures of the Hazardous Materials Enforcement Division. In that year, the inspection force of 11 produced 120 cases or approximately 11 cases per inspector. An inspector workforce at the fiscal year 1991 requested level of 22 would produce approximately 242 cases.

It should be noted that in fiscal year 1988, RSPA collected nearly $400,000 in civil penalties under the hazardous materials enforcement program. In addition to the workload increases projected in the hazardous materials area, the increase in pipeline inspection personnel over the fiscal year 1989 staffing (actual) coupled with the OPS enhancement in its enforcement program (e.g., the PIPP program and full implementation of the inspection unit cycle) will generate a near doubling of referred cases by fiscal year 1991.

An additional workload impact will be made by the transfer back to headquarters from TSC of the procurement function. For example, TSC processed 26 non-small purchase and 85 small purchase procurements (a combined dollar total of approximately $4 million) in fiscal year 1988. It is anticipated that legal review of procurement matters will involve one-half person year of effort.

Also, significant rulemakings in the hazardous materials area and in the pipeline area, as a result of the reauthorization of the pipeline safety program through fiscal year 1991, will require significant legal input.

The increase in Administrative Costs in Travel is necessary to support the enforcement programs (e.g., attorneys serve as presiding officials at informal conferences and informal hearings); while the other increases are adjustments in Rental payments and Working Capital fund.

OPERATIONS

OFFICE OF CHIEF COUNSEL

The Administrative category also includes $4,000 to provide subject matter training for those legal professionals (five attorneys and one paralegal specialist) hired over the last three years, as well as those to be hired in fiscal year 1991 (areas would include, for example, environmental law, Federal practice, and procurement).

OPERATIONS

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

	FY 1990	FY 1991	Difference
Permanent Positions	14	17	+3
Personnel Compensation & Benefits	$810,000	$1,090,000	$+280,000
Administrative Costs	171,000	200,000	+29,000
Program Funds	134,000	110,000	-24,000
Total Operations	$1,115,000	$1,400,000	$+285,000

MISSION

The Office of Program Management and Administration provides staff and administrative support for the development and implementation of programs in administrative areas including human resoources management, procurement and acquisition, budget and financial management, management analysis, information resources management and general administrative support. It promotes safety and security by designing and conducting training programs tailored to the requirements of government and industry. It has the responsibility for planning, developing and continuing a coordinated transportation statistics and information program, a program which is responsible for the collection, analysis, and dissemination of technological data, economic data, and other types of domestic and international transportation information, and it has the responsibility to administer a coordinated drug awareness and internal testing program.

PROGRAM STRUCTURE AND OBJECTIVES

The Office of Program Management and Administration plans, implements, and manages personnel, finance and budget, procurement, civil rights, administrative support services, and the Transportation Safety Institute. The functional areas and their associated operational objectives are described below:

1. Personnel - Provides all the personnel requirements for the Administration. Maintains all employee records, controls all new hires, position advertisements, training, employee development and other matters pertaining to personnel.

2. Budget and Programs - Provides planning, coordination, and implementation of RSPA budget formulation and execution activities, financial management, and reporting. This office

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

also manages the Statistics, Data and Information program.

3. Procurement - Provides the operational services, equipment, materials, and supplies by means of contracts, purchase orders, reimbursable agreements and orders placed on other Government agencies.

4. Civil Rights - Provides the administration, coordination and implementation of the Civil Rights program and the responses to the Freedom of Information and Privacy Acts.

5. Administration - Provides the organizational planning and management for all the required administrative tasks These include but are not limited to administrative services, information resources management and the information collection budget.

6. Transportation Safety Institute - Provides the overall management and administration of the Institute which designs and conducts training programs responsive to the requirements of Government and industry as expressed by the Operating Administrations of the Department.

STAFFING

	FY 1990	FY 1991	Difference
Personnel	4	4	---
Budget and Programs	5	4	-1
Procurement	---	4	+4
Civil Rights	---	1	+1
Administration	3	2	-1
Transportation Safety Institute	2	2	---
Totals	14	17	+3

OPERATIONS

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

RESOURCES

Administrative Costs	FY 1990	FY 1991	Difference
Travel	$5,000	$4,000	$-1,000
Transportation of Things	1,000	1,000	---
Rental Payments to GSA	90,000	92,000	+2,000
Training	(6,000)*	8,000	+8,000
Communications, Utilities and Miscellaneous	24,000	24,000	---
Printing & Reproduction	15,000	20,000	+5,000
Supplies & Materials	4,000	6,000	+2,000
Equipment	3,000	4,000	+1,000
Other Working Capital Fund	29,000	41,000	+12,000
Total	$171,000	$200,000	$+29,000

* Previously funded by Hazardous Materials and Pipeline Safety

JUSTIFICATION

The increase of $280,000 in Personnel Compensation and Benefits is the result of funds necessary to cover the increase in staff for the Office of Program Management and Administration as shown in the staffing table. The increase of three positions represents a transfer of positions from the Transportation Systems Center (TSC) for the establishment of the Procurement and Civil Rights functions into this Office. The total increase also includes funds for within-grade increases, performance awards, the Federal Employees Retirement System, health benefits, annualization of the FY 1990 general pay raise and three quarters of the FY 1991 general pay raise.

OPERATIONS

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

For more than two years, the procurement function for the Washington staff has been performed at the TSC. At the start of FY 1990, the procurement activity is to be returned to the Headquarters operation. The change in the FY 1991 budget is the necessary realignment of funds and of staff positions to show these changes.

The increase in administrative costs of $29,000 is caused by adjustments in the administrative categories of Rental Payments to GSA, the Working Capital Fund, small increases in the printing, supplies and equipment accounts and the addition of a training account. This Training account is necessary to provide for the general training of the administrative staff. Such elements as drug training and civil rights awareness are included, as is the normal required staff training.

PROGRAM FUNDS

	FY 1990	FY 1991	Difference
TOTAL	$134,000	$110,000	$-24,000
1. Statistics & Data Publications	$128,000	$100,000	$-28,000
2. Statistical Data and Information Requirements	6,000	4,000	-2,000
3. Drug Awareness and Internal Testing	---	6,000	+6,000

BACKGROUND

The DOT Act (Public Law 89-670) provides that the Secretary of Transportation shall promote and undertake development, collection, and dissemination of technological, statistical economic, and other information relevant to domestic and international transportation. In carrying out this mandate, the DOT spends millions of dollars annually on its major transportation information programs. This Statistics, Data and Information program draws on this large resource of information from all of the operating administrations to produce the National Transportation Statistics Report, an annual publication, and the Transportation Safety Report, also an annual publication. Additionally, in this collection of Department-wide data this program reviews all the data for possible duplication of collection and or combining different programs in order to reduce the burden of reporting on the private sector.

OPERATIONS

OFFICE OF PROGRAM MANAGEMENT AND ADMINISTRATION

JUSTIFICATION

1. Statistics & Data Publications - The $100,000 request is the minimum necessary for the preparation, publication, and distribution of the annual National Transportation Statistics report and the annual Transportation Safety report. These reports represent the only comprehensive source of multimodal transportation statistics in the U.S. The reports are used by federal agencies, congressional committees, academia, researchers and operating staff throughout the transportation community.

2. Statistical Data & Information Requirements - This program is required by the Paperwork Reduction Act of 1980, Section 3506 (c)(1). In order to adequately analyze the statistical data and information requirements or collections of all the operating administrations of DOT, RSPA requires $4,000. All new information requirements for the Department must be reviewed for statistical significance and for paperwork reduction before they can be added to the inventory of DOT statistical information systems. Duplicative information systems are carefully evaluated, and where possible eliminated or consolidated.

3. Drug Awareness and Internal Testing - This is a new program element to this Office. It is one that has been increasing each year and now must be considered a program element with its own funding. This funding of $6,000 provides the minimum amount necessary for internal drug testing review and the support and orientation requirements necessary to give guidance to the private sector.

OPERATIONS

OFFICE OF AVIATION INFORMATION MANAGEMENT

	FY 1990	FY 1991	Difference
Permanent Positions	22	23	+1
Personnel Compensation & Benefits	$1,188,000	$1,278,000	$+90,000
Administrative Costs	203,000	263,000	+60,000
Program Funds	1,219,000	901,000	-318,000
Total Operations	$2,610,000	$2,442,000	$-168,000

MISSION

The Office of Aviation Information Management (AIM) program provides comprehensive financial and statistical data that portray the results and depict the activities of individual air carrier operations and of the air transportation industry. The data are a central source of economic aviation information for government and private sector users. They serve as a significant element in the Department's multimodal transportation information system as most interstate and foreign commercial passengers travel by air.

PROGRAM STRUCTURE AND OBJECTIVES

The Office of Aviation Information Management is responsible for DOT's Aviation Information program. The program's five functional areas are:

- Program Policy - This function establishes aviation economic information policy guidance to the Department. This policy guidance complies with information management and resource policies promulgated by OMB and by ICAO.
- Research and Systems Analysis - DOT program requirements for economic information are periodically analyzed to determine specific information needs. The systems analysis work also involves review of carrier practices and procedures for compliance with DOT regulations.
- Enforcement - Economic aviation information rules are enforced to ensure availability of the required data. This work involves receipt, logging and filing of air carrier reports, monitoring the timeliness of reports, communications with air carriers on problems, and enforcement procedures.

OPERATIONS

OFFICE OF AVIATION INFORMATION MANAGEMENT

- Data Services and Consultation - Expert advice, guidance and counsel are provided to DOT program managers that use or are considering use of aviation economic information or ADP services. This work provides a central liaison point to help the Department minimize the cost of data administration and ADP special project services.
- Information Processing - This work is primarily routine and recurrent, and performed mostly by contract staff. It consists of validating and correcting the air carriers' submissions, plus manual and computer processing to ready the data for use. Data banks and publications are produced.

In FY 1991, we plan to continue great emphasis upon the provision of timely and high quality data collection, data processing, and ADP services for the Department's programs. To do this, substantial ongoing regulatory work must be accomplished, to guide and direct air carriers on their reporting obligations, to handle air carrier requests for reporting exceptions, and to enforce the filing date regulations.

In the ADP services area for FY 1991, we plan to continue the upgrading and/or replacement of outmoded and inefficient computer systems and computer programs required by the Department's aviation programs. The future completion of this multi-year project will improve the reliability and responsiveness of the computer systems, improve the low cost accessibility of data to users, and help us control our future operating costs.

Our development and regulations work in FY 1991 will focus upon review of existing data collection systems using systems research and analysis techniques to identify problems and develop suggested solutions for improvement. We plan to complete several projects begun in FY 1990 that may result in policy changes or proposed rules in FY 1991, such as the zero-based review of burdens on air carriers resulting from the reporting requirements of the International Civil Aviation Organization. Also in 1991, we plan a new initiative to research alternative sources for passenger origin-destination data required by OST and FAA programs and mandated by the Civil Aeronautics Board Sunset Act.

In FY 1991 we plan to continue preparation for new equipment, software and servicing procedures that will modernize, streamline and improve the service ability of our reports reference room. The multi-year project to modernize our computer systems includes a major initiative to implement optical imaging and microform technologies in this area. We will also continue preparation to accommodate access by DOT and other users with personal computers.

OPERATIONS

OFFICE OF AVIATION INFORMATION MANAGEMENT

RESOURCES

Permanent Positions. The following table shows the positions requested for the Office of Aviation Information Management.

	FY 1990	FY 1991	Difference
Aviation Information Management	22	23	+1

Personnel Compensation and Benefits - Twenty-three positions are required to accomplish the level of work necessary to maintain useful aviation economic information and ADP services for DOT program purposes. One additional position is needed to increase our core staff of ADP technical experts. The additional position will be used to accomplish necessary ADP maintenance and development projects that are essential in order to ensure the continued reliability, timeliness and accessibility of aviation economic data. The position will also be used to accomplish special ADP service requests for OST and FAA users. Our past attempts to use contractors for this work have not been successful due to lack of institutional knowledge. As a result, it has been necessary to defer critically important ADP maintenance and developmental projects. It has also been necessary to routinely reduce the scope and usefulness of some of the special ADP service projects for OST and FAA, and accomplish only the highest priority items. In addition to accommodating this deferred work, the position is needed to handle increased user demands. For example, we expect extensive research and development of the use of T-100 market and service segment traffic data, because the first full year of data will be available after January, 1991. Also, significant changes in the industry, such as domestic concentration, industry globalization, and wayports, will increase the pressure for special ADP services and projects.

OPERATIONS

OFFICE OF AVIATION INFORMATION MANAGEMENT

Administrative Costs - The following table compares the administrative costs for Aviation Information Management in fiscal year 1990 with the amounts requested in fiscal year 1991:

	FY 1990	FY 1991	Difference
Travel	$5,000	$3,000	$-2,000
Transportation of Things	1,000	1,000	---
Rental Payments to GSA	110,000	158,000	+48,000
Communications Utilities and Misc.	30,000	30,000	---
Printing and Reproduction	12,000	7,000	-5,000
Supplies and Materials	5,000	10,000	+5,000
Equipment	2,000	1,000	-1,000
Other Working Capital	38,000	53,000	+15,000
TOTAL	$203,000	$263,000	$+60,000

JUSTIFICATION

The increase of $90,000 in Personnel Compensation and Benefits in FY 1991 is required to fund one additional position, within-grade increases, performance awards, health benefits, the Federal Employees Retirement System, annualization of the FY 1990 General pay increase and three quarters of the FY 1991 general pay raise. An offsetting reduction is made in program funds for the additional position.

The increase in administrative costs of $60,000 is caused by adjustments in the administrative categories of Rental Payments to GSA, the Working Capital Fund, an increase in the supplies and materials account and a decrease in the printing, equipment and travel accounts.

OPERATIONS

OFFICE OF AVIATION INFORMATION MANAGEMENT

PROGRAMS FUNDS	FY 1990	FY 1991	Difference
INFORMATION MANAGEMENT	$1,219,000	$901,000	$-318,000
1. ADP Support Services	$40,000	$40,000	----
2. Basic Passenger Statistics	90,000	90,000	----
3. Computer Systems Development	304,000	24,000	$-280,000
4. Basic AIM Program	500,000	444,000	-56,000
5. Aviation Data Analysis	285,000	285,000	----
6. Publication of Regulations	----	18,000	+18,000
TOTAL OPERATIONS PROGRAM	$1,219,000	$901,000	$-318,000

JUSTIFICATION

In FY 1991 we will continue to use direct program funds plus user reimbursements to secure necessary contractor staff resources and pay for computer usage to conduct the ongoing operations of the basic AIM program. We will need $1,496,100 for this work. These funds will consist of $901,000 of the direct program monies plus a $500,000 user reimbursement from FAA, and $95,100 in user reimbursements from non-Federal parties. We will expend approximately $600,000 for contractor staff, $800,000 for computer usage, and $72,000 for regulatory activities plus office automation and $24,000 for minimum progress on the multi-year computer systems development project.

1. ADP Support Services We will need $40,000, the same as FY1990, for our use of the Transportation Computer Center (TCC) computer. We use TCC's facility to maintain automated data on air carrier reporting obligations and report receipt dates. The data is needed for our monitoring and enforcement of reporting requirements.

OPERATIONS

OFFICE OF AVIATION INFORMATION MANAGEMENT

2. Basic Passengers Statistics We require $90,000 for FY 1991, the same as FY1990, to meet the aviation information mandates of the CAB Sunset Act of 1984. This act requires the collection and dissemination of basic domestic passenger movement statistics including both origin and destination and non-stop market data. The Secretary has delegated this responsibility to RSPA.

3. Computer Systems Development RSPA is requesting $24,000, a reduction of $280,000, to continue a multi-year effort begun in FY 1990, to modernize our inefficient or limited computer systems. The funds will be used in two areas, first to redevelop computer systems used to recurrently process aviation data, and second to upgrade or replace user oriented computer systems that provide direct access by OST and FAA users to aviation information and data services. Funds will also be used to upgrade and modernize OST and FAA user programs. The user oriented computer systems enable users to access and manipulate basic aviation economic information, and to manage their aviation workload. The basic AIM data banks are now resident in the highly sophisticated TCC computer, and their structures are being modernized. As well, new data banks are being developed for use, including flight delay and T-100 international traffic statistics. We will also explore new technologies for disseminating data to users of personal computers.

4. Basic AIM Program We require $444,000, a decrease of $56,000, for computer and contractor resources to recurrently collect, process, and ready for use the economic data submitted by the air carriers. The funds are used for computer and contractor staff resources. The work includes recurrent validation and processing of air carrier data, preparation of periodic reports, preparation of computerized data banks that are directly accessed by users, and servicing of small, ad hoc, requests for computer services involving aviation data. The data banks provide information that the Department requires to support its statutory obligations under the law and enables the Department to monitor economic and safety aspects of commercial aviation. The reduction results from our need for less contractor staff for FY 1991, in view of the one new ADP technical position proposed for the core AIM program staff.

5. Aviation Data Analysis RSPA is requesting $285,000, the same as in FY 1990, for special projects for the Office of the Secretary that involve computerized manipulation of aviation economic data. The funds are essential in order for the Department to fully benefit from its aviation information, and extract useful policy information from the raw data. The projects include analysis of information available from the AIM program's basic collections, as well as the analysis of special data collected in connection with Department cases and investigations.

OPERATIONS

OFFICE OF AVIATION INFORMATION MANAGEMENT

We will perform critical studies and analyses of the air transportation industry and the air space controlled by the Department. Funding will support one-time and ongoing projects that require the collection and analysis of financial and statistical data for Secretarial and Departmental reports, testimony and task forces. Activities include monitoring and evaluation such as: review of competition in the airline industry; on-time flight performance of major carriers; development of legislative proposals; responding to Congressional requests for information and special studies; responding to airline strikes; maintenance of the National Transportation Plan; study of international commercial air traffic patterns; issuing regulations on access by the handicapped; and aviation consumer issues.

6. Publication of Regulations We require $18,000 in new funds to pay the Federal Register to publish our regulations and notices, as required by the Administrative Procedures Act. Heretofore these publications have been funded by OST.

OPERATIONS

OFFICE OF EMERGENCY TRANSPORTATION

	FY 1990	FY 1991	Difference
Permanent Positions	10	10	---
Personnel Compensation & Benefits	$581,000	$639,000	$+58,000
Administrative Costs	126,000	132,000	+6,000
Program Funds	193,000	228,000	+35,000
TOTAL OPERATIONS	$900,000	$999,000	$+99,000

MISSION

The Office of Emergency Transportation (OET) is the primary element of the Department engaged in the preparation, coordination, and implementation of policies, plans, and programs to achieve and maintain a readiness posture in civil emergency transportation preparedness. OET discharges the Secretary's statutory and administrative responsibilities in all emergencies affecting the national defense and in other national or regional crises.

PROGRAM STRUCTURE AND OBJECTIVES

The Office of Emergency Transportation is responsible for providing staff assistance to the Secretary in the area of emergency preparedness policies, plans, and procedures; coordinating the Department's emergency transportation responsibilities; and managing the Department's operational readiness, continuity of government, and emergency civil transportation resource management programs. These responsibilities consist of the following elements:

a. Maintaining at the national and regional levels an efficient and effective DOT Emergency Organization (DOT EO) structure. This structure includes about 800 persons, both National Defense Executive Reservists and DOT Mobilization Designees, assigned to a Headquarters element and 10 regional units. The DOT EO is a critical element of the Department's emergency response capability. It provides the Secretary with the expertise to manage the civil transportation resources of the Nation in a national security emergency, as required by statute. Further, the DOT EO forms the principal link between the Department's continuity of government teams and the national transportation infrastructure.

b. Develop and maintain programs, procedures, and systems required to meet essential national security and domestic transportation emergency responsibilities of the Department. Responsibilities include developing automated systems required to support a variety of Departmental emergency transportation program including operation of the DOT multimodal Emergency Transportation Data Base. This data base is used as the primary instrument for quantifying national transportation system status in a national emergency.

c. Management of an effective continuity of government (COG) program, which has undergone a renaissance over the past few years. Details of the program are classified. However, in general, COG consists of national and regional teams and requires durable and secure communications, survivable emergency operations facilities, and training and exercises for the more than 150 members of the teams.

d. Provision of U.S. and Departmental representation for a variety of assigned activities in support of the North Atlantic Treaty Organization (NATO), U.S./Canada joint civil emergency planning, and other international programs. The Director of Emergency Transportation is the designated representative to the NATO Civil Aviation Planning Committee and the U.S. Co-chairman of the U.S./Canada Emergency Planning Committee for Civil Transportation. These international activities are critical to the national security through provision of transportation support for essential U.S. military and civil requirements.

e. Provide for the upgrade of the microcomputers, software, and related support systems currently used by OET and the Regional Emergency Transportation Coordinators to support the emergency resource management and operational readiness programs.

OPERATIONS

OFFICE OF EMERGENCY TRANSPORTATION

RESOURCES

Administrative Costs - The following summary table compares the administrative costs for emergency transportation in Fiscal Year 1990 with the amounts requested in Fiscal Year 1991.

	FY 1990	FY 1991	Difference
Travel & Transportation	$10,000	$8,000	$-2,000
Transportation of Things	1,000	1,000	---
Rental Payments to GSA	64,000	66,000	+2,000
Communications, Utilities and Misc. Charges	18,000	18,000	---
Printing & Reproduction	11,000	11,000	---
Supplies and Materials	1,000	1,000	---
Equipment 1,000	1,000	---	-1,000
Other Working Capital Fund	20,000	27,000	+7,000
TOTAL	$126,000	$132,000	$+6,000

JUSTIFICATION

The increase of $58,000 in Personnel Compensation and Benefits in FY 1991 is required to fund the within grade increases, performance awards, health benefits, the Federal Employees Retirement System, annualization of the FY 1990 General Pay increase and three quarters of the FY 1991 general pay raise. The increase in Administrative costs of $6,000 is caused by general adjustments in the areas shown.

OPERATIONS

OFFICE OF EMERGENCY TRANSPORTATION

PROGRAM FUNDS

OET is requesting $228,000 in FY 1991 for its total operations program, an increase of $35,000 over the FY 1990 level. The requested funds will be used for the program elements indicated below.

	FY 1990	FY 1991	Difference
TOTAL OPERATIONS	$193,000	$228,000	$+35,000
1. OPERATIONS PROGRAMS	$193,000	$168,000	$-25,000
2. DATA SYSTEM MAINTENANCE	---	60,000	+60,000

1. OPERATIONS PROGRAMS

JUSTIFICATION

a. Funds are needed for the development and execution of training exercises for the DOT Emergency Organization. The number and depth of training exercise modules will remain the same. This will maintain the quality of training and allow for diverse national security aspects for National Defense Executive Reservists and Federal Mobilization Designees at both headquarters and regional levels. The training and exercise activity provides realistic regionally-related annual training to approximately 800 individuals, from both the private sector and the Federal transportation community. Training is needed in order to assure that the Department of Transportation is continually prepared to manage the Nation's civil transportation resources in times of a national security emergency.

b. Funds are needed to operate those programs related to being responsive in emergency conditions and continue the required support of Federal radiological and earthquake response programs. This is accomplished by conducting congressionally mandated reviews and exercises to verify the safety of approximately 50 commercial nuclear power plants, validate Federal earthquake response programs, participate in related exercises, and participate in anti-terrorism and nuclear weapons accident exercises. This program provides support for the involved Department's regional personnel who participate in Regional Assistance Committees and provide technical advice to the Federal Emergency Management Agency (FEMA) on civil nuclear power plant inspections. In addition, it will accommodate responsibilities assigned by Executive Order 12657, "FEMA Assistance in Emergency

Preparedness Planning at Commercial Nuclear Power Plants." This program also provides for OET participation in national-level exercises in radiological, catastrophic earthquake, and nuclear weapon accident events.

c. Funds will be used for the continued enhancement of the Department's continuity of government (COG) program, consistent with overall Federal COG program initiatives. Included are provisions for the purchase of STU-III secure telephones in order to meet national security secure voice requirements with both U.S. and NATO entities; replacement of obsolete teleprinters currently interconnected with the Office of Emergency Transportation's nationwide emergency HF radio network with ASCII-standard teleprinters that will maintain compatibility with other DOT systems (USCG, FAA, and FHWA) and the Federal Emergency Management Agency; purchase of equipment for a new Departmental Headquarters alternate emergency site; training for the members of new classified continuity of government teams at the national and regional levels; and support to the Regional Emergency Transportation Coordinators.

d. Funds will be used for the costs of representing the United States and the Department in the North Atlantic Treaty Organization's Civil Aviation Planning Committee and U.S./Canada Joint Emergency Planning Committee for Civil Transportation (EPCCT), and related emergency mobilization planning activities. This funding provides for an expanded relationship with Canada through the Joint U.S./Canada EPCCT, with increased compatibility of emergency plans for each Nation's civil transportation resource. Additionally, it provides for full Departmental participation in both the U.S. and Europe during the conduct of Exercise Wintex/Cimex 91, a major NATO mobilization and deployment exercise. The exercise has also been expanded to allow a greater role for civil organizations, requiring more extensive exercise planning.

e. Funds will be used for upgrading micro-computers, software, and related support systems currently used for DOT Emergency Transportation Data Base operations. An incremental upgrade is planned for the OET micro-computer system which supports both national and regional-level emergency planning and response actions. The current system no longer has sufficient capacity to handle expanding information requirements and is difficult to maintain. Upgraded hardware, coupled with more efficient software, will provide extensive information on the critical aspects of the civil transportation infrastructure. It will be used by the Regional Emergency Transportation Coordinators and

OPERATIONS

OFFICE OF EMERGENCY TRANSPORTATION

Headquarters elements for both planning and exercise purposes. The improved capability will significantly increase DOT's ability to coordinate and support advanced Federal national security automated reporting systems.

2. DATA BASE MAINTENANCE

JUSTIFICATION

a. This program has been completed as a Research and Development program and is being moved into the Operations element. $60,000 is requested to continue the operation and maintenance of the DOT Emergency Transportation Data Base System. A two year data update cycle has been established for the data system to ensure data is sufficiently current to be useful. Operating system software is regularly revised to improve performance, speed of response, and screen display presentation. Data is distributed in a large volume cartridge medium which will also be developed during the update cycle.

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

	FY 1990	FY 1991	Difference
Permanent Positions	97	99	+2
Personnel Compensation and Benefits	$4,337,000	$4,811,000	$+474,000
Administrative Costs	1,254,000	1,379,000	+125,000
Program Funds	3,779,000	2,404,000	-1,375,000
Total Operations	$9,370,000	$8,594,000	-776,000

MISSION

The Research and Special Programs Administration's (RSPA) Office of Hazardous Materials Transportation (OHMT) is responsible for regulating the safe transportation of hazardous materials by water, air, highway and railroad. The RSPA has the authority to exercise the powers and perform the duties vested in the Secretary of Transportation.

PROGRAM STRUCTURE AND OBJECTIVES

The OHMT plans, implements, and manages the hazardous materials transportation program which consists of the following functional areas and their associated operational objectives:

1. Information and Analysis -- Provide the data and information necessary to support the operational planning and analysis requirements of OHMT's programs.

2. Rulemaking -- Promulgate and maintain hazardous materials transportation standards which are clearly stated, enforceable, and reflective of national transportation policy, and which do not impose unreasonable burdens on commerce. Fully participate in the development of appropriate international safety standards while resisting those which impose non-tariff trade barriers on U.S. industry.

3. Inspection and Enforcement -- Reduce the public safety risk inherent in the multimodal transportation of hazardous materials by ensuring compliance with applicable safety standards. Ensure the availability of general and specific information on enforcement of and compliance with Federal Hazardous Materials Regulations. Assist state, local, and regional governments in development of their enforcement staffs. Provide industry with information to assure awareness of the requirements pertaining to transportation of hazardous materials.

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

4. Prevention and Response Support -- Enhance accident prevention through information transfer programs aimed at achieving uniform enforcement of the Hazardous Materials Regulations by the states and voluntary compliance by industry. Improve emergency preparedness and response through programs which increase awareness of the full dimensions of emergencies involving hazardous materials transportation and available methods of mitigating their consequences. Efforts focus on three primary audiences in government and industry: managers of prevention and response efforts; operations personnel who must comply with or enforce regulations; and technical experts who deal with highly specialized aspects of prevention or response programs.

RESOURCES

Permanent Positions -- The following summary table for RSPA's Office of Hazardous Materials Transportation compares the functional distribution of full-time positions in the hazardous materials (HM) program for fiscal years 1990 and 1991.

Personnel Distribution	FY 1990	FY 1991	Difference
Information and Analysis	11	11	---
Inspection and Enforcement	22	24	+2
Rulemaking	30	30	---
Technical Support	16	16	---
Prevention and Response Support	13	13	---
Management and Administration	5	5	---
Total	97	99	+2

Personnel -- RSPA is requesting an increase of two (2) positions for FY 1991 for hazardous materials transportation safety inspectors. This will enable RSPA to consolidate the greater efficiencies made possible by OHMT's restructuring of the inspection and enforcement program in FY 1990.

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

Administrative Costs --The following summary table compares the administrative costs of the Office of Hazardous Materials Transportation for fiscal years 1990 with the amount requested for fiscal year 1991.

	FY 1990	FY 1991	Difference
Travel and Transportation	$225,000	$215,000	$-10,000
Transportation of Things	5,000	3,000	-2,000
Rental Payments to GSA	661,000	740,000	+79,000
Training	---	22,000	+22,000
Communications, Utilities and Miscellaneous Charges	81,000	73,000	-8,000
Printing and Reproduction	103,000	103,000	---
Supplies and Materials	25,000	20,000	-5,000
Equipment	30,000	20,000	-10,000
Other Working Capital Funds	124,000	183,000	+59,000
TOTAL	$1,254,000	$1,379,000	$125,000

JUSTIFICATION

The increase of $474,000 in Personnel Compensation and Benefits in FY 1991 is required to fund the increase of two positions, as well as for within grade increases, performance awards, health benefits, the Federal Employees Retirement System, annualization of the FY 1990 General Pay increase for all OHMT positions, and three quarters of the January 1991 general pay raise.

The increase in administrative costs is due almost entirely to increases in GSA rental payments and other working capital funds. Another part of this increase is the introduction of a line item for training of OHMT staff. With a maturing work force in standards development and a newly expanded enforcement staff, the need will be greater than ever to provide for the technical, managerial and administrative training needs of the organization.

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OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

PROGRAM FUNDS

The following summary tables compare the Fiscal Year 1990 operations program funding with that requested for Fiscal Year 1991.

	FY 1990	FY 1991	Difference
TOTAL OPERATIONS PROGRAM	$3,779,000	$2,404,000	$-1,375,000
1. INFORMATION AND ANALYSIS	$1,000,000	$845,000	$-155,000
a. Maintain/operate automated data systems in support of HM regulatory activities, including office automation, management analysis, trend analyses, state access and data base crosslinks.	$645,000	$645,000	---
b. Perform analyses, including cost impacts and risks, to support planned and ongoing program activities.	310,000	200,000	-110,000
c. Commodity flow analysis	45,000	---	-45,000

JUSTIFICATION

1. Information and Analysis

a. In FY 1991 OHMT is requesting $645,000 to operate and maintain automated data systems in support of HM regulatory activities. The Hazardous Materials Information System (HMIS) is a direct access system with multiple users at different locations with a wide variety of analytical, enforcement, and training applications. Users include some 30 in RSPA alone, four other DOT administrations (FAA, FRA, CG, FHWA), NTSB, DOD, and 42 state and local agencies. The HMIS is also available to state, regional, and local governments to assist in their HM planning and enforcement efforts. While usage of the system has been increasing steadily and is expected to accelerate with the addition of new data and user friendly software, operating efficiencies are expected to offset the increasing usage.

In recent years, all hazardous materials safety program operations have become increasingly dependent on personal computer-based office automation equipment. While this has significantly increased OHMT's productivity, it has necessarily entailed direct costs for training, maintenance and system enhancement. The responsibility for system design, maintenance, training and other office automation functions has been added to the HMIS. The wide range of direct support for all program offices will range from designing specialized networks to training OHMT staff in care and use of the equipment.

b. In FY 1991, OHMT is requesting $200,000, a reduction of $110,000 from the amount in FY 1990 for the planning, analysis and evaluation functions necessary to support OHMT's regulatory programs. The results of these studies are necessary not only to support rulemaking proposals, but also to evaluate the effectiveness of completed rulemakings. The funding level requested for FY 1991 reflects the level of effort necessary for OHMT to continue a multi-year effort with respect to nuclear materials transport, including: evaluation of the routing criteria applicable to rail shipments of radioactive materials; determination of the need to establish additional Federal guidelines or regulations on route and/or mode selection for shipments of radioactive materials; and, if appropriate, development of such guidelines or regulations.

c. In FY 1990, OHMT will complete the development of a "primer" for state and local officials on the collection and use of hazardous materials commodity flow. No additional funding is requested for 1991.

	FY 1990	FY 1991	Difference
2. RULEMAKING	$583,000	$446,000	$-137,000
a. Evaluate operational controls, packaging performance, classification criteria, and performance standards.	$225,000	$150,000	-75,000
b. Support HM regulation evaluation and revision, including publication of notices and rules in the *Federal Register*.	248,000	186,000	-62,000
c. Support mandatory annual republication of 49 CFR.	110,000	110,000	---

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

JUSTIFICATION

2. Rulemaking

a. OHMT is requesting $150,000, a reduction of $75,000 from FY 1990, to support OHMT's continuing need for immediate evaluation and analysis in support of rulemaking, interpretation, enforcement and exemption actions. This continuing need for immediate technical and economic evaluation and analysis stems from a number of sources such as:

Hazardous materials incidents that require technical analyses to determine the cause, potential for additional incidents, countermeasures and the benefits and costs of alternative regulatory actions.

Comments to rulemakings that require technical and economic analyses or data before significant rulemaking issues can be resolved.

Enforcement actions that identify safety issues related to interpretation or actual text of the regulations.

Evaluation of exemption requests which have broad application and important safety and economic impacts. Such requests often involve the application of new technologies to hazardous material transportation packaging or operations and require OHMT to determine the impact on transportation safety.

Proposed changes or development of new international transportation safety regulation which are likely to have safety or economic impacts on transportation in the US.

b. OHMT is requesting $186,000 for regulatory evaluation and revision, i.e., the direct costs associated with the rulemaking process. These include public hearings, maintenance of a public docket and publication in the Federal Register. This is $62,000 less than the amount for FY 1990 and represents the difference in the anticipated number of lengthy regulatory documents to be published in the Federal Register.

c. This item covers the cost of the mandatory annual republication of the Hazardous Materials Regulations, i.e., 49 CFR Parts 100-179. In FY 1991, OHMT is requesting $110,000, the same level as in FY 1990.

OPERATIONS

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	FY 1990	FY 1991	Difference
3. INSPECTION AND ENFORCEMENT	$186,000	$76,000	$-110,000
a. Acquire, test, and analyze HM containers to determine non-compliance or faulty design specifications; Investigate/analyze HM transportation accidents.	$160,000	$50,000	$-110,000
b. Administrative Law Judge, stenographic services and other costs of enforcement proceedings.	10,000	10,000	---
c. Support DOT Honors Program for New Attorneys.	16,000	16,000	---

JUSTIFICATION

3. Inspection and Enforcement

a. OHMT is requesting $50,000 for laboratory analysis and testing support, a decrease of $110,000 from the FY 1990 funding level. OHMT will have executed a multiyear contract for conducting routine and specialized testing of containers for compliance with the requirements for HM packagings (49 CFR Part 178). A vital part of the OHMT inspection and enforcement program, the testing contract, will run through FY 1991. The amount of $50,000 requested for FY 1991 is for the specialized testing needed to support specific enforcement actions.

b. OHMT is requesting $10,000 in FY 1991, the same level as in FY 1990, to provide for the cost of Administrative Law Judges, stenographic services and other services in direct support of enforcement proceedings.

c. In FY 1990, OHMT is requesting the FY 1990 amount of $16,000 as its pro rata contribution to the Department's Honors Attorney Program, a long-standing successful program for attracting talented law school graduates to the Department.

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

		FY 1990	FY 1991	Difference
4.	PREVENTION AND RESPONSE SUPPORT	$2,010,000	$1,037,000	$-973,000
a.	Support the Hazardous Materials Emergency Response Center through the USCG National Response Center with data links to CHEMTREC.	$250,000	$250,000	---
b.	Produce/distribute the Hazardous Materials Emergency Response Guidebook (ERG).	800,000	---	-800,000
c.	Maintain a clearinghouse for hazardous materials transportation safety information.	80,000	120,000	+40,000
d.	Support Federal/state and private sector hazardous materials transportation safety initiatives	355,000	---	-355,000
e.	Develop, produce and distribute hazardous materials training programs, guidance materials and courses on transportation safety and emergency response.	525,000	---	-525,000
f.	Enhance prevention through support of public/private sector programs to improve HMR compliance/enforcement.	---	407,000	+407,000
g.	Enhance response through support of public/private sector programs to improve HM emergency preparedness and response.	---	260,000	+260,000

OPERATIONS

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

JUSTIFICATION

4. Prevention and Response Support

In prior years, this element of the hazardous materials operations program was entitled "Emergency Response and State Program Support." As the program has matured, however, it has become apparent that the dual focus of this element is not only emergency response to hazardous materials accidents, but also prevention of those accidents. Moreover, support is provided not only to States, but to all non-Federal entities engaged in hazardous materials transportation safety efforts. For these reasons, this element has been redesignated "Prevention and Response Support." The grouping of projects for which funding is requested has also been changed to reflect this clearer program structure.

a. In FY 1991, OHMT is requesting $250,000, an amount equal to the FY 1990 level of funding, for its share of operating the National Response Center (NRC). Under the provisions of the Federal Water Pollution Control Act, as amended, Executive Order 11735, and the National Oil and Hazardous Substance Pollution Contingency Plan, the U.S. Coast Guard (USCG) operates a National Response Center to receive reports of oil and hazardous substance discharges and to facilitate responses to such incidents. OHMT fulfills its requirement to receive reports of incidents involving the transportation of hazardous materials transported by air, rail, highway, and water by a reimbursable agreement with the USCG to avail itself of the existing NRC capabilities.

b. In FY 1990, OHMT will produce and distribute copies of the third revised edition of the Emergency Response Guidebook (ERG). The distribution process will continue through FY 1991 and OHMT anticipates that additional funding will be required in FY 1992 to ensure that copies of the ERG remain available to all emergency services personnel who need them. (The distribution process is continuous, not only because personnel turnover is high, but also because the books can wear out from frequent use.)

c. In FY 1991, OHMT is requesting $120,000 to maintain a national clearinghouse for hazardous materials transportation safety information. This will enable OHMT to support two projects at their FY 1990 funding levels.

OHMT is requesting $80,000, the same amount as in FY 1990, to maintain and improve the Hazardous Materials Information Exchange (HMIX). Composed of an electronic bulletin board and toll free assistance system, the HMIX is the national clearinghouse for information on hazardous materials regulatory compliance and enforcement and on emergency response planning and preparedness. The system, supported jointly by OHMT and the Federal Emergency Management Agency, is available free of charge to all interested persons involved in the handling of hazardous materials. Usage has grown 300% since 1987, its first year of operation.

OHMT is also requesting $40,000, the same amount in FY 1990 (under item 4.d), to continue a national exhibit program which demonstrates and promotes the use of the system and the OHMT hazardous materials safety program. The exhibit has been developed with interchangeable panels to demonstrate the HMIX or highlight OHMT's overall enforcement, outreach, technology advancement and regulatory programs. OHMT displays the exhibit at Federal, state, local and private sector conferences to provide information on the operation of and resources available through its safety program.

d. In FY 1990, OHMT requested $355,000 to support a variety of transportation safety initiatives. Of that total: $275,000 was aimed at prevention (improved enforcement and compliance); $40,000 was aimed at response (improved emergency planning and preparedness); and $40,000 was for the national information clearinghouse which serves both program objectives.

In FY 1991 OHMT's budget request reflects the restructuring of the federal/state/private sector initiatives program according to its two primary objectives, prevention and response. These are described in items 4.g and 4.f below.

e. In FY 1990, OHMT requested $525,000 for a variety of information transfer projects. Of that total, $405,000 was aimed at prevention and $120,000 was aimed at response.

In FY 1991 OHMT's budget request reflects the restructuring of the federal/state/private sector initiatives program according to its two primary objectives, prevention and response. These are described in items 4.g and 4.f below.

f. In FY 1991, OHMT is requesting $407,000, a reduction of approximately $270,000 from the amount in FY 1990, to enhance prevention efforts through support of compliance and enforcement programs in both the public and private sectors.

Of this amount, $30,000 is requested for the Cooperative Hazardous Materials Enforcement Development (COHMED) program. COHMED fosters regulatory and enforcement uniformity among states and provides comprehensive data concerning enforcement efforts nationally. COHMED provides state enforcement officials at the management and operational levels with a forum for addressing specific enforcement issues, work on Federal, state and industry cooperative initiatives, investigate technical concerns in packaging, communications and shipper/carrier practices, and address response issues.

OHMT is requesting $77,000 for the Hazardous Materials Specialist Program. Begun in FY 1989, this program provides management level state enforcement officials with broad exposure to the Federal system of regulation and enforcement. At the completion of a two-month internship at OHMT, the specialists return to their states better prepared to manage enforcement programs consistent with Federal regulations.

Continuing the emphasis on management level officials, in FY 1991 OHMT plans to develop guides for use by legislative, judicial and executive branch officials on: (1) the importance of enforcement in preventing hazardous materials incidents; and, (2) specific program options. OHMT plans to present these guides through seminars conducted in conjunction with national organizations representing these professionals. OHMT is requesting $50,000 for this initiative.

To reach operational level personnel in both the public and private sectors, OHMT is requesting $250,000 to support the direct delivery of training to approximately 3,000 personnel through the Transportation Safety Institute. This is an important means of promoting both uniform enforcement by state and local government and voluntary compliance by shippers and carriers.

g. In FY 1991, OHMT is requesting a total of $260,000, an amount equivalent to that requested in FY 1990, to enhance response efforts through support of emergency preparedness and response programs. It is generally accepted that not all communities are adequately prepared to deal with hazardous materials transportation emergencies. In view of this, OHMT has restructured its Federal/State/Private Sector Initiatives Program to better channel its emergency response support. In FY 1991, the focus will be on two areas: (1) information for operational emergency responders, through guidance and training, and (2) support for state management officials responsible for risk assessment and planning.

Of this total amount, OHMT is requesting $100,000 to ensure that operations-level emergency responders are made aware of the changes in the 1990 edition of the Emergency Response Guidebook, especially with respect to guidance on public protection, new chemicals and protective equipment. OHMT will provide explanatory materials in

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

a variety of training formats to improve responders' understanding of the guidance. OHMT will also produce and distribute a new videotape on this topic, as part of the "Roll Call Series" for on-the-job use.

To address management level emergency response concerns, OHMT is requesting $20,000 to convert the results of FY 1990 research into a program of options for administering state and regional response programs.

To address the training needs of hazardous materials specialists and technicians, OHMT is requesting $100,000 to develop curricula for levels two and three as defined in the new Department of Labor standard, 29 CFR Part 1910. (OHMT plans to share development costs jointly with the Federal Emergency Management Agency.)

$40,000 is requested to update user-friendly consequence models, which were developed in FY 1988, to assist emergency planners and responders in estimating the impact of hazardous materials releases.

OPERATIONS

OFFICE OF RESEARCH AND TECHNOLOGY

	FY 1990	FY 1991	Difference
Permanent Positions	7	6	-1
Personnel Compensation and Benefits	$462,000	$412,000	$-50,000
Administrative Costs	115,000	119,000	+4,000
Program Funds	103,000	79,000	-24,000
Total Operations	$680,000	$610,000	$-70,000

MISSION

The Office of Research and Technology (ORT) assists in the definition of policy and coordination of research among the modes through staff support to the DOT Research and Development Coordinating Council; support of RSPA's responsibilities to the University Transportation Centers Program; provision of planning and analysis on the Federally sponsored civil radionavigation and radiocommunications systems; and work with state and local governments to identify their technical and research needs; dissemination of the results of research to users; and interface with the modes to address identified state and local needs.

PROGRAM STRUCTURE AND OBJECTIVES

The Office of Research and Technology consists of the following functional areas:

1. Research and Development - Provides analysis and advice in support of the DOT Research and Development Coordinating Council. Provides staff support to the Chairman of the R&D Coordinating Council.
2. Technology Sharing - Provides and undertakes development, collection, and dissemination of technological, statistical, economic and other information; consults and works with state and local governments, universities and the private sector to encourage greater utilization of the products and ideas resulting from the research and development program.

OPERATIONS

OFFICE OF RESEARCH AND TECHNOLOGY

3. Communications and Radionavigation - Provides leadership on all radionavigation and telecommunication activities within the Department, as well as technical focus on selected international cooperative research and development programs. Provides staff support to the Chairman of the DOT Radionavigation Council.

4. University Transportation Centers - Provides information and analysis to support RSPA's responsibilities under the Urban Mass Transportation Act of 1964 as amended by Sec 314 of P.L. 100-17.

RESOURCES

Administrative Costs - The following table compares the estimated administrative costs for the Office of Research and Technology in fiscal year 1989 with the amounts requested in fiscal year 1990:

	FY 1990	FY 1991	Difference
Travel	$7,000	$5,000	$-2,000
Transportation of Things	---	---	---
Rental Payments to GSA	51,000	52,000	+1,000
Training	---	2,000	+2,000
Communications, Utilities and Misc. Charges	10,000	10,000	---
Printing and Reproduction	30,000	30,000	---
Supplies and Materials	1,000	1,000	---
Equipment	1,000	---	-1,000
Other Working Capital Funds	15,000	19,000	+4,000
Total	$115,000	$119,000	$+4,000

JUSTIFICATION

The decrease of $50,000 in Personnel Compensation and Benefits in FY 1991 is caused by the shift of the Deputy Administrator position into the Office of the Administrator and to fund the within grade increases, performance awards, health benefits, the Federal Employees Retirement System, annualization of the FY 1990 General pay increase and three

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OFFICE OF RESEARCH AND TECHNOLOGY

quarters of the FY 1991 general pay raise. The costs for printing and reproduction are for the printing of technical reports generated by the Technology Sharing Program. This program disseminates research and development information primarily to state and local governments, as well as university transportation centers and other private sector users. DOT's outreach program publishes information to meet the identified needs of our users, in a form that is useful to them. The reports are the result of cooperative efforts with other DOT operating administrations or reprints of innovative research results from state or local efforts.

The $2,000 requested for training is in the management areas, secretarial support, computer support and conference registrations. This entry establishes an appropriate amount to cover the costs of training without reducing other program elements.

PROGRAMS FUNDS

	FY 1990	FY 1991	Difference
TOTAL OPERATIONS	$103,000	$79,000	$-24,000

JUSTIFICATION

These program funds are the minimum necessary to continue the operation of the document dissemination center for technology transfer products. The center manages and disseminates research products resulting from directly sponsored studies, noteworthy results from state and local government studies, and other products resulting from research in the modal administrations. Particular attention is given to products that would be of value to an audience of state and local officials, university research centers, and private sector organizations throughout the transportation community.

RESEARCH AND DEVELOPMENT

OFFICE OF EMERGENCY TRANSPORTATION

BACKGROUND

The objective of the Emergency Transportation Research and Development program is to provide the necessary analytical and subject matter materials required to support the Department's capability to manage the civil transportation system in a national security or domestic emergency.

Efforts are directed towards national security requirements requiring specific attention. Attention is required due to their unique or critical nature in fulfilling assigned program responsibilities.

PROGRAM STRUCTURE AND OBJECTIVE

The Emergency Transportation Research and Development Program conducts research and analysis in two areas:

> a. Transportation Emergency Management Systems. This effort consists of on-going efforts to analyze and improve the Department's automated data base and information systems which are employed to quantify the assets of the Nation's transportation system, assess its status and survivability under a wide variety of crisis situations. These analyses include nuclear attack. Additionally, the system provides the mechanism by which policy planning and program management decisions can be made in either pre or post emergency time periods.
>
> b. Mobilization and Strategic Mobility. This effort provides for research directed towards DOT's participation in a strategic mobility network modeling system in order for DOT to fulfill its requirements to support the Department of Defense in national security situations. It will develop systems and procedures in areas concentrating on multi-user systems that quantify civil military mobilization requirements. Specific emphasis will address coordination of requirements between the Department, the Federal Emergency Management Agency, the Military Traffic Management Command, the U.S. Transportation Command, and the U.S. Forces Command.

RESEARCH AND DEVELOPMENT

OFFICE OF EMERGENCY TRANSPORTATION

PROGRAM FUNDS

	FY 1990	FY 1991	Difference
Emergency Management Support	$220,000	$130,000	$-90,000

JUSTIFICATION

RSPA is requesting $130,000 for Fiscal Year 1991, a decrease of $90,000. The requested funds will be used as follows:

1. $110,000 is for the development of new transportation data systems and technology to provide for an effective DOT Emergency Transportation Data Base. This is a dynamic system which is continually changing and must constantly be reviewed and upgraded. In this activity technology is monitored and tested for application to the on-going systems activity. The already established Data Base Maintenance program previously in the Research and Development area has now been moved to the Operations element and will continue as an operational data base. Additionally, the Emergency Preparedness Reference System (EPRS), now under initial development, will be continued in a test and demonstration phase. The DOT transportation demand/capacity model will also be reviewed to improve its automated management information system.

2. $20,000 is requested to provide for DOT participation in a strategic mobility multi-user network modeling system called the National Infrastructure Information System. This is a multi-million dollar project primarily funded by the Military Traffic Management Command and the Federal Emergency Management Agency. DOT, as the nation's emergency civil transportation manager, is an integral part of this project. Also, funds will be used to define civil transportation requirements that must be met to meet DOT mobilization requirements.

RESEARCH AND DEVELOPMENT

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

BACKGROUND

The Hazardous Materials Technology Program is mandated by the Transportation Safety Act of 1974 and other legislation. This program provides the technical and analytical foundation necessary to support the Department's regulatory, enforcement, and emergency response activities in the area of hazardous materials transportation safety.

PROGRAM STRUCTURE AND OBJECTIVES

The Hazardous Materials Technology Program is structured in parallel with the Hazardous Materials Operations Program. The Technology Program elements and their associated research objectives are as follows:

1. Information and Analysis -- Provide the solid technical information and analytical methodologies necessary for planning, evaluation, and implementation of regulatory activities.

2. Rulemaking -- Provide the detailed technical knowledge and quantification necessary for developing, justifying and implementing standards (e.g., hazard class definition and packaging performance standards and specifications). Provide the technical information necessary to develop rulemaking proposals and international standards, to evaluate existing regulations, petitions for rulemaking, approvals, and exemptions, and to determine inconsistencies between local, state and Federal regulations.

3. Prevention and Response Support -- Perform the research and analysis necessary to support development of programs to enhance the capabilities of state, local and private sector personnel in the areas of accident prevention, safety planning and emergency response.

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OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

PROGRAM FUNDS

The following summary table compares the Fiscal Year 1990 Hazardous Materials Technology Program with that requested for Fiscal Year 1991.

	FY 1990	FY 1991	Difference
TOTAL RESEARCH AND DEVELOPMENT	$1,115,000	$1,125,000	$+10,000
INFORMATION AND ANALYSIS	$590,000	$590,000	---
a. Develop new and integrate existing automated data systems that support HM regulatory activities, and develop data base augmentation.	$240,000	$240,000	---
b. Develop methodologies for analyzing costs, risks, and impacts of planned/proposed regulatory activities. Identify and evaluate alternatives to rulemaking as solutions to safety problems.	350,000	350,000	---

JUSTIFICATION

1. Information and Analysis

a. In FY 1991, OHMT is requesting $240,000, the same amount as FY 1990, to modify and improve the hazardous materials portion of the Hazardous Materials Information System (HMIS). This will continue the program of necessary enhancements designed to reflect and incorporate regulatory changes. It will also expand the system's capacity to respond to the additional demands being placed on it by the expanded user community.

OHMT also plans to expand the use of graphic representation of data generally and with respect to more effective depiction and analysis of highway routing and incidents. Data entry resources will be further expanded with the planned entry of all exemptions into the HMIS.

RESEARCH AND DEVELOPMENT

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

b. In FY 1991, OHMT is requesting $350,000, the same amount as in FY 1990, to perform the cost, risk, and impact analyses which are the essential underpinning of each planned or proposed regulatory action. These include: further development of highway routing guidelines for selected hazardous materials, preliminary evaluation of modal characteristics and benefits, and an updated analysis of the costs/benefits of proposed packaging standards.

		FY 1990	FY 1991	Difference
2.	RULEMAKING	$475,000	$485,000	+$10,000
a.	Evaluate the safety integrity of hazardous materials packagings, particularly packaging for bulk and high risk materials. Develop and evaluate solutions to safety deficiencies.	$280,000	$280,000	---
b.	Evaluate and develop hazardous materials classification criteria that will support proper identification of hazards, packaging, and emergency response.	100,000	100,000	---
c.	Develop and evaluate performance-oriented standards for existing and new hazardous materials packagings.	95,000	95,000	---
d.	Interagency radiation research and policy coordination.	---	10,000	+10,000

RESEARCH AND DEVELOPMENT

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

JUSTIFICATION

2. Rulemaking

a. OHMT is requesting $280,000, the same amount as requested in FY 1990, to meet the continuing need for evaluation of existing, and development of new, packaging standards, with particular focus on high risk hazardous materials such as explosives, compressed gases and highly toxic gases and liquids.

The transportation of bulk quantities of hazardous materials and high risk hazardous materials through towns and cities and on highways represents the greatest potential for major hazardous materials transportation accidents. Preliminary study of the transportation of highly toxic materials in bulk quantities found that packaging is the most effective way to control risk. Routing and limiting the quantity of material shipped in one package were found to provide only limited risk reduction potential. Development of criteria that address the puncture-, crush- and fire-resistance of packaging is critical to providing a high level of confidence in the safe transportation of such materials. The development of specific accident survival performance criteria for the packaging of bulk quantities of high risk hazardous materials is scheduled for completion in FY 1990.

In FY 1991, OHMT plans to initiate validation testing of the design methodology and performance testing standards which are critical for implementation of accident survivability criteria. OHMT also plans to initiate studies of certain broad issues for the purpose of assessing the potential implications for the future composition of the hazardous materials transportation safety rulemaking program. These include: a study of the transportation requirements for future major nuclear facility decommissioning and decontamination programs; and an examination of the need for specific or generic quality assurance/quality control programs for DOT specification packagings for radioactive and for nonradioactive hazardous materials.

b. OHMT is requesting $100,000, the same level as in FY 1990, to maintain the on-going evaluation and updating of the criteria for classification of hazardous materials, to develop improved classification criteria, and to develop the test methods necessary to support new classification criteria. The accuracy of classification criteria in identifying the hazards of a material is critical to the safe transport of that material, for those criteria form the basis for identification of hazards, packaging and emergency response information and procedures.

RESEARCH AND DEVELOPMENT

OFFICE OF HAZARDOUS MATERIALS TRANSPORTATION

OHMT plans to continue the development of test methods and performance criteria for bulk shipments of explosives and organic peroxides. Currently, there are no established guidelines, either in the HMR or the United Nations Recommendations, for bulk shipments of explosives or organic peroxides. This effort, initiated in FY 1990, will continue into FY 1992 with the aim of establishing specific guidelines for safe transport of explosives and organic peroxides in bulk packagings. Such guidelines will enable OHMT to improve safety and reduce the number of regulatory exemptions that are necessary to facilitate transportation of these very hazardous materials.

c. OHMT is requesting $95,000, the same amount as in FY 1990, to continue to develop performance-oriented standards for incorporation into the hazardous materials regulations. The objective of performance-oriented standards, for both bulk and non-bulk packagings, is to: (1) stimulate the use of new technologies and innovative methods by industry for developing more cost-effective packaging systems for hazardous materials; (2) develop improved domestic and international hazardous materials transportation safety standards; and, (3) facilitate international trade by harmonizing domestic regulations with corresponding international standards. This work involves the development of such criteria, the necessary supporting data to facilitate adoption of U.S. proposals at the U.N., and the subsequent incorporation of such standards into the Hazardous Materials Regulations.

In FY 1991, OHMT plans to continue work on a study initiated in FY 1990 to evaluate in-service performance of industrial packagings of radioactive materials. Industrial packagings are built to performance standards and are a new class of radioactive materials packagings developed and placed in international service in recent years. This study would evaluate actual transport experience and develop realistic accident scenarios based on the new packaging requirements and existing shipping practices. These scenarios would enable OHMT to assess the radiological and economic consequences of a highway or rail accident involving a release of radioactive materials from industrial packaging.

d. OHMT is requesting $10,000 to support the activities of the Committee on Interagency Radiation Research and Policy Coordination (CIRRPC). CIRRPC is chartered through the Federal Coordinating Council for Science, Engineering and Technology, Office of Science and Technology Policy, Executive Office of the President. Its overall charge is to coordinate radiation issues among federal agencies, evaluate radiation research, and provide a forum for formulating national radiation policy. CIRRPC also provides a vehicle for accomplishing multiagency tasks. Through involvement in CIRRPC, OHMT benefits greatly from research that would otherwise be beyond the reach of its modest radioactive materials transportation safety program. All CIRRPC funding is derived from participating agencies. The amount requested by OHMT is one tenth of the cost share allocated to DOT in CIRRPC's no-growth budget projection for FY 1991.

	FY 1990	FY 1991	Difference
3. PREVENTION AND RESPONSE SUPPORT	$50,000	$50,000	---
a. Maintain currency and accuracy of Emergency Response Guidebook information base.	$50,000	$50,000	---

JUSTIFICATION

3. Prevention and Response Support

a. In FY 1991, OHMT is requesting $50,000, the same level as in FY 1990 to initiate: (1) evaluation of the effectiveness of the third revised edition of the Emergency Response Guidebook (ERG); and, (2) development work on the fourth revised edition. This work is necessary to validate the ERG's effectiveness in meeting the needs of first responders and to assess the continually improving state-of-the-art in emergency response operations and technology, hazard definition and quantification, chemical dispersion modeling, and evacuation or sheltering-in-place determination. The process of review, validation and updating is endless, but it is one that is crucial for a book that must be relied upon without question during an emergency.

RESEARCH AND DEVELOPMENT

OFFICE OF RESEARCH AND TECHNOLOGY

BACKGROUND

The Office of Research and Technology is organized to provide policy direction to the Department's research and development program; analyze and perform special studies on R&D topics of interest to Department management; and provide research information to State and local governments and the entire transportation community. The office activities include studies of multimodal transportation projects, planning, safety, finance, elderly and handicapped issues, rural transportation, radionavigation and radiocommunications systems, and other areas not directly addressed by research being conducted by one of the other operating elements. The office is a main provider of research information to the public and private sector as mandated in the enabling DOT Act (P.L. 89-670).

PROGRAM STRUCTURE AND OBJECTIVES

The Office of Research and Technology program consists of the following functional areas and associated objectives:

1. Research Coordination and Technology Sharing

   a. Research Coordination - Work across jurisdictional lines of the operating administrations to serve as an advanced research, analysis, and technical development arm of DOT and to conduct special studies as directed by Departmental management.

   b. Technology Sharing - Collect, analyze, develop and disseminate research and technical assistance information of interest to State and local governments, universities, business, industry, and other private sector organizations; based on identified needs and problems of the users of the information.

2. Communications and Radionavigation

   a. Multimodal Planning and Policy Analysis - Study and analyze the existing private and federally-operated communications and navigation/positioning systems to determine if they meet civil navigation and positioning requirements. Monitoring the location and tracking the position of vehicles involved in shipping people and materials is becoming increasingly important and sometimes a critical aspect of transportation for reasons of efficiency, safety, and security. The advent of commercial Radio Determination Satelite Services (RDSS), the expansion to the LORAN-C system, will lead to enhanced capabilities for land mobile users. In addition, lower costs for radionavigation receivers has fueled the emerging multimodal interest in vehicle tracking and location. This has been intensified by public concerns on the transportation of hazardous materials, and the possibility of weapons or critical materials being hijacked by terrorist groups.

b. Global Positioning System (GPS) Systems Analysis and Integration - RSPA is to continue its coordination and planning functions concerning intermodal GPS issues. The use of GPS will revolutionize mapping and surveying techniques as we know them today throughout the world. Nations without the traditional ground-based navigation aids, which are expensive to build and operate, will have the means to improve the navigation of their ships and aircraft. There is an unique opportunity for the U.S., both from a political and economic standpoint. Implementation of a civil interface with the DOD Global Positioning System (GPS) is proceeding. The U.S. Coast Guard has been given responsibility for operational implementation of the CGS. In conjunction with FAA and Coast Guard, establish new operational procedures to fully integrate GPS within the marine and air user community. RSPA will examine liability and standardization issues concerning the civil use of GPS.

RESEARCH AND DEVELOPMENT

OFFICE OF RESEARCH AND TECHNOLOGY

PROGRAM FUNDS

The following summary table compares the Fiscal Year 1990 program with that requested for Fiscal Year 1991.

	FY 1990	FY 1991	Difference
TOTAL RESEARCH AND DEVELOPMENT	$290,000	$300,000	$+10,000
1. Research Coordination and Technology Sharing	$50,000	$50,000	---
a. Research Coordination	$15,000	$15,000	---
b. Technology Sharing	35,000	35,000	---

JUSTIFICATION

1. Research Coordination and Technology Sharing

The Office of Research and Technology has several responsibilities involving coordination of research activities of the Department. It also must respond to increasing demands from the operating administrations to assist in the consolidation and dissemination of their research products for state/local policy officials and other officials with multimodal responsibilities.

a. Research and Development Coordination - Coordination of R&D activities in the various modes requires the organization of conferences involving outside experts from academia and industry, and special studies. Assistance is provided in analyzing the R&D budgets of the different modes, and in preparing projections of future transportation needs and future transportation technologies so that the Departmental R&D programs can be responsive to DOT's goals.

b. Technology Sharing - To support the office's responsibilities for R&D program development and technical assistance coordination Department-wide, data needs for technical materials will have to be updated and extended. The funding will allow the integration of some of the materials coming from the Department's University Transportation Centers efforts with other related projects, and its dissemination to the transportation user community nationwide.

Areas emphasized by the state/local community include financing options, planning and decision support, and safety and security

RESEARCH AND DEVELOPMENT

OFFICE OF RESEARCH AND TECHNOLOGY

programs. Areas considered to respond to current inquiries include meeting transportation needs of suburban/rural growth centers, tort liability reduction approaches, innovative state/local transportation safety programs, and applicability of advanced navigation systems in the civil sector. Such studies typically deal with a variety of modes, and would not be studied by any one operating administration.

Such projects make the results of the Department's R&D available to a much broader constituency, contribute to a more focused and relevant Departmental R&D program, and reduce the need for state/local agencies to initiate potentially duplicative research.

	FY 1990	FY 1991	Difference
2. Communications and Radionavigation	$240,000	$250,000	$+10,000
a. Multimodal Policy Anaylsis	$100,000	$100,000	---
b. GPS Systems Integration	140,000	150,000	$+10,000

JUSTIFICATION

2. Communications and Radionavigation

a. Multimodal Policy Analysis - The Federal Radionavigation Plan (FRP) has retained its basic purpose since its inception in 1980, that is to determine the most effective mix of Federally-provided radionavigation systems to meet air, marine and land requirements. Besides an increase in the number of traditional marine and air radionavigation systems users there has been an enormous addition of land, precise time and radiolocation users. A major effort remains to assess the current and future needs of all users and improve the FRP. The 1990 Edition of the Federal Radionavigation Plan will be published in this fiscal year.

b. GPS Analysis and Integration
The Soviet Union is implementing a 24 satellite navigation and positioning system very similar to GPS. Through the Transportation Cooperative Agreement (TCA) established last year the US and USSR are examining standards for an interoperable GPS/GLONASS receiver to be used in international aviation. Since cooperation on the two satellite navigation systems will affect other users, besides aviation, RSPA needs to monitor the intermodal impact of such

agreements. Due to concerns regarding the availability of GPS and GLONASS in times of national emergency, there are plans by other organizations such as INMARSAT and the European Space Agency to supplement these systems with their own geostationary and high elliptical orbit (HEO) satellites. The use of these satellites and other Radio Determination Satellite Services need to be addressed in the Federal Radionavigation Plan (FRP).

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
PIPELINE SAFETY
DETAIL SUMMARY OF POSITIONS AND BUDGET AUTHORITY (BA) BY ACTIVITY
(Dollars in Thousands)

Activity/Organization	1990		1991		Difference	
	Positions	BA	Positions	BA	Positions	BA
Operations						
Office of Pipeline Safety	51	$5,116	60	$5,075	9	($41)
Research and Development						
Pipeline Safety Technology	—	714	—	725	—	11
Grants	—	4,329	—	5,000	—	671
GRAND TOTAL	51	$10,159	60	$10,800	9	$641

DEPARTMENT OF TRANSPORTATION

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION

PIPELINE SAFETY

(Pipeline Safety Fund)

For expenses necessary to conduct the functions of the pipeline safety program and for grant-in-aid to carry out a pipeline safety program, as authorized by section 5 of the Natural Gas Pipeline Safety Act of 1968 and the Hazardous Liquid Pipeline Safety Act of 1979, [$10,325,000] $10,800,000 to be derived from the Pipeline Safety Fund, of which [$5,250,000] $5,725,000 shall remain available until expended. (Department of Transportation and Related Agencies Appropriations Act, 1990.)

NOTE: The amount shown above to "remain available until expended" differs from that shown in the Presidents's Budget by $-500,000. This adjustment reduces funds attributable to grants and increases funds for operations. The justification pages that follow justify the adjusted amounts.

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
PIPELINE SAFETY

AMOUNTS AVAILABLE FOR APPROPRIATION (in thousands of dollars)

Identification code 69-5172-0-2-407	19 89 actual	19 90 estimate	19 91 estimate
01.00 Unappropriated balance, start of year..................	17,060	17,530	17,530
02.00 Receipts.........................	9,770	10,159	10,800
04.00 Total available for Appropriation.............	26,830	27,689	28,330
05.00 Appropriation..................	(9,300)	(10,325)	(10,800)
06.20 Reduction pursuant to P.L. 101-164..................	0	31	
06.20 Reduction pursuant to P.L. 99-177...................		135	
07.00 Unappropriated balance end of year..............	17,530	17,530	17,530

Note: The FY 1989 receipts include collections from prior year assessments.

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
PIPELINE SAFETY

PROGRAM AND FINANCING (In Thousands of Dollars)

Identification code 69-5172-0-2-407	19 89 actual	19 90 estimate	19 91 estimate
Program by Activity:			
1. Operations..................	4,193	5,184	5,075
2. Research and Development.....	697	723	725
3. Grants.......................	4,391	4,387	5,000
10.00 Total Obligations	9,281	10,294	10,800
Financing:			
17.00 Recovery of prior year obligations....................	(132)		
21.40 Unobligated balance available start of year..................	(3)	(135)	
24.40 Unobligated balance available, end of year.........	135		
25.00 Unobligated balance lapsing........................	18		
39.00 Budget authority	9,300	10,159	10,800
Budget Authority:			
40.00 Appropriation....................	9,300	10,325	10,800
40.00 Reduction pursuant to P.L. 101-164.................		(31)	
40.00 Reduction pursuant to P.L. 99-177.................		(135)	
43.00 Appropriation (adjusted)	9,300	10,159	10,800
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	9,281	10,294	10,800
72.40 Obligated balance, start of year........................	5,166	4,050	3,704
74.40 Obligated balance, end of year........................	(4,050)	(3,704)	(3,257)
77.00 Adjustments in expired accounts.........................	(5)		
78.00 Adjustments in unexpired accounts.......................	(132)		
90.00 Outlays........................	10,261	10,640	11,247
(Memo cost: [illegible])	(Memo cost: [illegible])	(Memo cost: [illegible])	(Memo cost: [illegible])

PIPELINE SAFETY

PROGRAM AND PERFORMANCE

The Research and Special Programs Administration is also responsible for the Department's pipeline safety program.

Operations

Provides for salaries and expenses and for supervisory and management functions for pipeline safety regulatory and enforcement programs.

Research and Development

Provides for research to support the pipeline safety program.

Grants

Provides for grants-in-aid to State agencies that conduct a pipeline safety program.

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
PIPELINE SAFETY

OBJECT CLASSIFICATION (In Thousands of Dollars)

Identification code 69-5172-0-2-407	19 89 actual	19 90 estimate	19 91 estimate
Direct Obligations:			
Personnel Compensation:			
11.1 Full-time permanent	2,044	2,033	2,446
11.3 Other than full-time permanent	11	12	12
11.5 Other Personnel compensation	1	2	2
11.9 Total personnel compensation	2,056	2,047	2,460
12.1 Personnel Benefits: Civilian	383	271	318
21.0 Travel and transportation of persons	358	316	343
22.0 Transportation of things	4	2	3
23.1 Rental Payments to GSA	296	419	433
23.3 Communications, Utilities, and miscellaneous charges	138	82	85
24.0 Printing and reproduction	48	30	32
25.0 Other services	1,588	2,724	2,105
26.0 Supplies and materials	15	10	13
31.0 Equipment	5	6	8
41.0 Grants, subsidies, and contributions	4,391	4,387	5,000
99.9 Subtotal, direct obligations	9,281	10,294	10,800
PERSONNEL SUMMARY			
Total number of full-time permanent positions	48	51	60
Full-time equivalent employment	48	50	55

PIPELINE SAFETY PROGRAM

GENERAL STATEMENT

The Pipeline Safety program was established as a separate appropriation in FY 1988 due to the passage of "user fee" legislation. The effect of this legislation (Public Law 99-272) is that no funds appropriated can be used to make up any shortfalls in other parts of the RSPA.

Pipeline Safety Operations and Research and Development

The combined FY 1991 budget request for RSPA's Pipeline Safety Operations and R & D programs is $5,800,000 which represents a $30,000 decrease from FY 1990. The decrease is largely attributed to the funding by Congress in FY 1990 of the Model One-Call Notification System. Offsetting this decrease are funds for nine new positions, travel funds necessary to support increased inspection activity, and increased training at the Transportation Safety Institute for Federal and State inspectors.

Pipeline Safety Grant-In-Aid

In the FY 1991 budget, $5,000,000, is requested to fund the pipeline safety grants-in-aid program, an increase of $671,000 over the FY 1990 level. This additional funding will provide increased incentive to the states to assume more authority for pipelines within their individual states.

Working Capital Fund (OST)

In FY 1991, $865,000 from the Pipeline Safety appropriation will finance services provided through the Department's Working Capital Fund.

Consulting Services

In FY 1991 the Pipeline Safety appropriation contains a request for consulting services for $20,000 to fund the expenses of the Technical Pipeline Safety Standards Committee and the Technical Liquid Pipeline Safety Standards Committee. Both of these committees are authorized by the legislation for the Gas Pipeline and Liquid Pipeline programs, respectively.

OPERATIONS

OFFICE OF PIPELINE SAFETY

	FY 1990	FY 1991	Difference
Permanent Positions	51	60	+9
Personnel Compensation & Benefits	$2,325,000	$2,778,000	$+453,000
Administrative Costs	1,048,000	1,143,000	+95,000
Program Funds	1,743,000	1,154,000	-589,000
Total Operations	$5,116,000	$5,075,000	$-41,000

The FY 1991 pipeline safety request reflects the allocation of Departmental resources as required by the Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA), which mandated the collection of user fees to recover the total costs incurred by the Department in administering the safety programs under the Natural Gas Pipeline Safety Act of 1968, as amended (NGPSA), and the Hazardous Liquid Pipeline Safety Act of 1979 (HLPSA).

MISSION

The Research and Special Programs Administration's Office of Pipeline Safety has regulatory responsibility for the safe inter and intra-state transportation of gas and hazardous liquids by pipeline.

PROGRAM STRUCTURE AND OBJECTIVES

The RSPA plans, implements, and manages the pipeline safety regulatory program which consists of the following functional areas and their associated operational objectives:

1. Information, Collection and Analysis - Provide the pipeline safety data necessary to conduct program planning analysis.
2. Rulemaking - Promulgate pipeline safety standards which are clearly stated, enforceable, and appropriate for safe pipeline transportation, and which do not impose unreasonable burdens on commerce.
3. Enforcement - Minimize the public safety risk inherent in the transport of natural gas and hazardous liquids by pipeline by ensuring compliance with applicable safety standards.

OPERATIONS

OFFICE OF PIPELINE SAFETY

RESOURCES

Permanent Positions - The following summary table for the RSPA's Office of Pipeline Safety compares the functional distribution of full-time positions in the Pipeline Safety (PL) programs for FY 1990 and FY 1991:

Functions	FY 1990	FY 1991	Difference
Office of the Director	4	4	---
Pipeline Safety Regulation	11	12	+1
Pipeline Safety Enforcement	11	13	+2
Pipeline Safety Field Offices	25	31	+6
Total	51	60	+9

JUSTIFICATION

The Office of Pipeline Safety is requesting an increase of nine positions for FY 1991. Eight of the requested positions are necessary for pipeline safety enforcement--six positions will be assigned to the pipeline safety field offices and two positions will be assigned to the headquarters pipeline safety enforcement office.

Two field positions will be assigned to the Western Region. These additional positions are necessary to assure annual inspections of the 14 hazardous liquid pipeline inspection units in Alaska (includes 4 units of Alyeska which transports about twenty-five percent of the domestic crude oil in this country) and the LNG export facility located in Kenai, Alaska. All pipeline operators inspected by RSPA have been divided into inspection units, with each unit representing a portion of an extensive pipeline system (or all of a small-size system) under the control of a responsible management element of an operator. Annual inspections of the hazardous liquid pipelines in Alaska are necessary to help assure compliance with Federal pipeline safety standards and that major pipeline spills do not occur in this environmentally sensitive State. One additional position will also enable the Western Region to inspect off-shore pipelines located in Cook Inlet, Alaska and perform additional inspections for the pipelines in environmentally sensitive areas in California. OPS has been informed that the State of Washington will not participate in the pipeline safety program in FY 1991, creating an increase of 40 pipeline inspection units in the Western Region.

OPERATIONS

OFFICE OF PIPELINE SAFETY

Three field positions are requested for the Southwest Regional Office. These positions are required to provide inspection of the additional 55 off-shore inspection units and the 78 interstate inspection units identified in FY 1989. The additional positions are necessary to allow the Southwest Region to meet OPS's inspection goal.

One additional position is requested for the Central Region. This position will allow adequate time for indepth accident investigation and related extensive follow-up of enforcement actions required in the region and allow adequate time for inspection of new pipeline construction. The additional regional positions will provide adequate staffing for regional follow-up of the Congressionally mandated safety related condition reports (77 have been filed in the first 5 months of 1989). They will also provide resources for enforcing the pipeline drug testing rule and for reviewing new operator procedures for operating, maintenance and training required by pipeline safety regulations which will be issued in 1989. The positions will provide OPS with the required inspection staff for additional and more indepth accident investigation. This will allow OPS to take a more proactive role in accident prevention.

Two additional enforcement positions are requested for headquarters to support the State Operations Unit in the management of technical support material required by this office. One position is necessary to provide the technical expertise to process and coordinate with regional inspectors the congressionally mandated Safety Related Conditions Reports and to coordinate and participate in the training of the state partners in accessing and utilizing RSPA's Hazardous Materials Information System (HMIS) pipeline data base. This position would also provide for technical auditing and modification of incident and annual pipeline reports and associated instructions. This audit function is critical to ensure that data used in OPS's Pipeline Inspection Priority Program (PIPP) is complete and accurate. PIPP is a computer-based program that rates pipeline operators and is used as a management tool to prioritize inspections. Additional responsibilities of this position will include analyzing State grant submittals; overseeing the computerization of State program data; assisting in the development and maintenance of State guideline manuals; and identifying areas requiring software improvement or new development. The second headquarters enforcement position is required to provide engineering analyses and review of enforcement cases that will be generated by the additional six regional inspection positions. In addition, this new position will allow additional regional oversight to ensure national consistency regarding pipeline safety policies.

One engineering position is requested for the Standards Division. This Division is assigned four engineering positions and one secretarial position to carry out rulemaking functions associated with developing, amending, interpreting, and waiving the Department's gas and hazardous liquid pipeline safety standards, and related information collection requirements. The workload demands in managing the existing regulations and responding to the recommendations of the National Transportation Safety Board and petitions by industry organizations are considerable. Recent legislative developments have significantly heightened these demands and increased the workload by approximately 60 percent (from 15 to 24 proposed rulemakings) over the previous 3 years. In the Pipeline Safety Reauthorization Act of 1988, Congress mandated establishment of new safety regulations in FY 1990 and 1991 regarding maps and other information for State agencies, pipeline inventory, use of internal inspection devices, operation of one-call systems, and carbon dioxide pipelines. The Act also calls for two studies concerning the feasibility of requiring the use of internal inspection devices periodically and the installation of emergency flow restricting devices, which are expected to lead to further rulemaking in FY 1991. In addition, in January 1989 the Secretary's Safety Review Task Force reported on its year-long comprehensive review of RSPA's pipeline safety program and made a number of rulemaking recommendations. Some of these recommendations relate to gaps in RSPA's existing regulatory coverage of the pipeline industry, including terminal storage facilities and hazardous liquid pipelines operating at low stress levels. Other recommendations concern gaps in RSPA's pipeline safety database. RSPA will issue proposed rulemakings for leak survey techniques in response to problems identified in Kansas and Missouri regarding maintenance of gas service lines. In addition, major revisions soon to be made to the National Association of Corrosion Engineers standards will create a need for rulemaking on RSPA's criteria for cathodic protection. In addition to these demands, the National Association of (State) Pipeline Safety Representatives (NAPSR) has called on RSPA to correct serious deficiencies it has identified in existing regulations regarding plastic pipe and hazardous liquid storage tanks. RSPA advised NAPSR that rulemaking to address these issues will be initiated. The engineering position is needed to organize and plan rulemaking projects, develop the technical requirements, make cost benefit determinations and to accomplish these new rulemakings in a timely manner.

The increase of $453,000 in Personnel Compensation and Benefits is for nine new positions ($325,000), within-grade increases, performance awards, health benefits, the Federal Employees Retirement System, annualization of the FY 1990 general pay increase and three-quarters of the FY 1991 general pay raise.

OPERATIONS

OFFICE OF PIPELINE SAFETY

Administrative Costs - The following table compares the administrative costs of the Office of Pipeline Safety in FY 1990 with the amount requested in FY 1991:

	FY 1990	FY 1991	Difference
Travel	$319,000	$343,000	$+24,000
Transportation of Things	2,000	3,000	+1,000
Rental Payments to GSA	419,000	433,000	+14,000
Training	---	5,000	+5,000
Communications, Utilities and Misc. Charges	82,000	85,000	+3,000
Printing and Reproduction	30,000	32,000	+2,000
Supplies and Materials	10,000	13,000	+3,000
Equipment	6,000	8,000	+2,000
Other Working Capital Fund	180,000	221,000	+41,000
Total	$1,048,000	$1,143,000	$+95,000

An increase of $95,000 is requested in FY 1991 to fund the administrative categories. The increase in FY 1991 travel funds to $343,000 from $319,000, a difference of $24,000, is requested to ensure necessary funding to carry out increased inspection activity resulting from the hiring of additional inspectors and increases in the number of inspection units in the Western and Southwest Regions. The requested level of funding will also provide an inflationary increase for subsistence costs for travel. Funding in the amount of $5,000 is requested for training to keep staff abreast of new and constantly changing technologies and methodologies in the pipeline industry as well as in support services necessary to the smooth and effective operation of headquarters and regional offices. In FY 1991, increases of $3,000 in the supplies and materials category and $2,000 in the equipment category are requested. Although staffing levels and equipment requirements have continued to increase since FY 1986, the funding levels of these categories have remained the same. The requested increase will provide for the replacement of obsolete equipment and new equipment for additional staff to effectively carry out pipeline safety functions at headquarters and regional offices. The other increases in administrative costs are normal adjustments in each respective area.

OPERATIONS

OFFICE OF PIPELINE SAFETY

PROGRAM FUNDS

	FY 1990	FY 1991	Difference
TOTAL	$1,743,000	$1,154,000	$-589,000
1. INFORMATION AND ANALYSIS	$345,000	$345,000	---
a. Maintain and operate auto-data systems in support of pipeline regulatory activities. Support services provided by the USCG National Response Center.	266,000	266,000	---
b. Perform analyses of costs, impacts, risks, etc., in support of planned/ongoing regulatory activities. As required, perform Congressionally mandated studies. Support two legislatively-mandated pipeline safety advisory committees.	79,000	79,000	---

JUSTIFICATION

1. Information and Analysis

a. In FY 1991, RSPA is requesting $266,000, the same level of funding as in FY 1990, to operate and maintain the pipeline portion of the Hazardous Materials Information System (HMIS), and to support the services provided by the U.S. Coast Guard-operated National Response Center (NRC) and to implement recommendations from the TSC study, "Improving the RSPA's Pipeline Safety Data Programs". The HMIS is a direct access system for collecting, processing, and dispensing information to multiple users at different locations for a variety of analytical, regulatory, and enforcement purposes.

b. In FY 1991, RSPA is requesting $79,000 for planning and analytical support for pipeline safety regulation and enforcement. This funding will permit continued analytical support to regulatory projects. Planning and analytical support are part of systematic efforts to improve the pipeline safety regulatory program, including funding to cover the costs of travel, per diem, and transcription

OPERATIONS

OFFICE OF PIPELINE SAFETY

services to conduct meetings of the two pipeline safety advisory committees established by the Natural Gas Pipeline Safety Act of 1968 and the Hazardous Liquid Pipeline Safety Act of 1979.

2. RULEMAKING	$40,000	$40,000	---
a. Review and analyze the effect on small operators of pipeline regulations (Regulatory Flexibility Act requirements); hold public hearings and publish proceedings; publish notices and rules in the Federal Register; mandatory annual publication of 49 CFR.	$40,000	$40,000	---

JUSTIFICATION

2. Rulemaking

a. In FY 1991, RSPA is requesting $40,000 to conduct studies of potential rulemaking actions, particularly those that were previously researched such as the LNG vapor dispersion and handling pipeline transportation emergencies. Statutory authorizations mandate that pipeline safety standards be based on relevant available pipeline safety data, be appropriate and reasonable, and contribute to public safety. This funding will permit RSPA to comply with these authorizations. The funds will also be used to support public hearings on pipeline safety regulatory issues; publish, as required by law, notices and regulations in the Federal Register; and to produce and distribute the pipeline safety regulations as required by the Administrative Procedures Act, 5 U.S.C. 552.

3. ENFORCEMENT	$686,000	$769,000	$+83,000
a. Evaluate state-of-the-art technology as it relates to compliance with performance regulations and	66,000	66,000	---

develop enforcement procedures to incorporate that technology. Investigate/analyze pipe line accidents.			
b. Provide stenographic services, other costs of enforcement proceedings and funding for the Honors Attorney program.	20,000	20,000	---
c. Develop and provide pipeline safety training for government and industry personnel by the Transportation Safety Institute (TSI).	570,000	653,000	+83,000
d. Produce/distribute training materials on gas and liquid pipeline safety.	30,000	30,000	---

JUSTIFICATION

3. Enforcement

a. In FY 1991, RSPA is requesting $66,000 to continue investigation of pipeline technology and establish a basis for major enforcement actions. The investigations will assess instrumentation and determine basic improvements to measure voltage drop of cathodically protected pipelines; extend on-going knowledge of the mechanism of corrosion of carrier pipe inside a casing; and provide study and assessment of the shielding effect of multiple pipelines to reduce the adverse effects on pipe wall thickness and strength. Study results will be used, as soon as available, as the basis for changes in safety standards and/or enforcement policies and procedures. In addition, funding will be used to support investigation of pipeline failures and conduct analysis of selected components involved in pipeline accidents to determine cause of failures.

b. In FY 1991, RSPA is requesting $20,000 for stenographic services, other costs of enforcement proceedings and for the Honors Attorney program.

OPERATIONS

OFFICE OF PIPELINE SAFETY

c. RSPA is requesting $653,000 in FY 1991, an increase of $83,000, to support the pipeline safety training program at the Transportation Safety Institute (TSI) in Oklahoma City. The funding requested is critical to meeting federal and state training requirements and requests.

This level of training would meet proposed requirements for federal and state inspectors to become certified within a specific time period once they have been hired. The requested funding will also provide new training mandated by regulatory changes; continuation of the updating of class and seminar curricula; development of an additional liquefied natural gas (LNG) course to separate enforcement and technology into individual classes.

d. In FY 1991, RSPA is requesting $30,000, the same level of funding as in FY 1990, to develop and distribute educational material to pipeline personnel, some of whom are unable to attend formalized resident-type training at Oklahoma City and/or at other locations, due to budgetary constraints and/or limited involvement. In prior years, this material has been enthusiastically received and has proven to be extremely effective. It is designed for those with little or no previous knowledge, as well as those who need an update. In addition, RSPA develops and distributes books, newsletters, pamphlets, and fact sheets to meet a continuing demand for information from government agencies, and the general and regulated public.

4.	MODEL ONE-CALL NOTIFICATION SYSTEM	$672,000	---	$-672,000
a.	Develop and establish Model One-Call Notification System	$672,000	---	$-672,000

JUSTIFICATION

4. Model One-Call Notification System

a. In FY 1990, Congress provided additional funding to assist States in developing and establishing model one-call notification systems. No further funding is being requested ending determination of progress States make in adopting, through their legislative process, the minimum One-Call Notification Regulations to be issued in mid 1990.

RESEARCH AND DEVELOPMENT

OFFICE OF PIPELINE SAFETY

BACKGROUND

The Pipeline Safety Technology Program is mandated by the Natural Gas Pipeline Safety Act of 1968, as amended, and by the Hazardous Liquid Pipeline Safety Act of 1979. With its principal emphasis on applied research, this program provides the technical and analytical foundation necessary to support the Department's rulemaking, enforcement, training, and other regulatory activities in the areas of gas and liquid pipeline safety.

PROGRAM STRUCTURE AND OBJECTIVES

The Pipeline Safety Technology Program is structured in parallel with the Pipeline Safety Operations Program. The program's functional areas and their associated research objectives are as follows:

1. Information and Analysis - Provide the solid technical information and analytical methodologies necessary for planning, evaluation, and implementation of pipeline safety regulatory activities.
2. Rulemaking - Provide the technical basis for pipeline safety regulatory decision-making; perform technical evaluations of requests for waivers and siting proposals for LNG facilities.

RESOURCES

The following summary table compares the fiscal year 1990 Pipeline Safety Technology Program with that requested for fiscal year 1991.

	FY 1990	FY 1991	Difference
TOTAL	$714,000	$725,000	$+11,000
1. INFORMATION AND ANALYSIS	$195,000	$195,000	---
a. Develop new and validate or integrate existing automated data systems to support pipeline regulatory activities.	115,000	115,000	---

RESEARCH AND DEVELOPMENT

OFFICE OF PIPELINE SAFETY

b. Develop methodologies for analyzing regulatory/enforcement alternatives, risks, costs and other impacts associated with planned/proposed regulatory activities. Identify and evaluate alternatives to rulemaking as solutions to safety problems.	80,000	80,000	---

JUSTIFICATION

1. Information and Analysis

   a. In FY 1991, RSPA is requesting $115,000, the same level of funding as in FY 1990. The HMIS System is designed in part to provide the basis for statistical analysis of pipeline accidents leading to research and development projects. The data base will continue to be used for assessing existing information and establishing the need for new knowledge. The data base captures information and statistics which are used for research purposes. The need for research based on existing and new information will continue and this funding will help meet these requirements. This level of funding will also provide for further development of data management software and development of data verification and data analysis programs to provide for more effective and efficient use of the information being collected.

   b. RSPA is requesting $80,000 in FY 1991, the same level of funding as estimated in FY 1990 for analyzing costs, risks, and impacts of planned/proposed regulatory activities. In FY 1991, we will continue with a major effort of analyzing the impact of recommendations resulting from the extensive and in-depth review of data collection activities in FY 1988 and FY 1989, i.e., recommendations resulting in changes to reporting requirements.

RESEARCH AND DEVELOPMENT

OFFICE OF PIPELINE SAFETY

	FY 1990	FY 1991	Difference
2. RULEMAKING	$519,000	$530,000	$+11,000
a. Evaluate new pipeline component technology.	70,000	70,000	---
b. Verify methodologies to determine dispersion distance of LNG vapor.	161,000	---	-161,000
c. Study the safety requirements of hazardous liquid pipelines as compared to those for gas pipelines.	188,000	160,000	-28,000
d. Study the feasibility and cost of installing flow restricting devices in gas and hazardous liquids pipelines.	100,000	100,000	---
e. Study hydrostatic test methods and retest intervals.	---	200,000	+200,000

RESEARCH AND DEVELOPMENT

OFFICE OF PIPELINE SAFETY

JUSTIFICATION

2. Rulemaking

a. RSPA is requesting $70,000 in FY 1991 to evaluate pipe and pipeline components when the use of certain materials/components raises safety concerns. For example, RSPA has studied the characteristics of steel pipe intended for arctic use: the effects of repeated/periodic hydrostatic testing of pipelines: and the effects and extent of hazards posed by accidental release of gas/liquids bearing H_2S. Recent failures in ERW weld seams have focused attention on the need to study the degradation of ERW pipe.

b. This project is planned to be completed in FY 1990 and no further funding is requested for FY 1991. The data developed on dispersion distance of LNG vapor will be used to update LNG regulations.

c. In FY 1991, RSPA is requesting $160,000, to fund the final year of research to determine whether there is a relative differential in safety, as defined by federal safety standards, between pipelines carrying hazardous liquid, including highly volatile liquid (HVL) and those carrying natural gas, and the extent to which the standards should be modified or augmented. There are differences in the requirements of the standards due in part, for example, to a characteristic of HVL, which when released behaves like a gas but is heavier than air or natural gas. In FY 1987, RSPA began the analysis of HVL pipelines. The study has been broadened to consider other hazardous liquid lines. An evaluation of the integrity of pipeline systems and structures when subjected to outside force damage, as well as other degradation mechanisms such as corrosion fatigue, slow stable crack growth and weld defects will be included. Crack growth from defects in seam welds, especially in corrosive environments represents a potentially serious problem in low frequency ERW welds. Related to this research is the issue of whether there should be stricter regulations for hazardous liquid pipelines in populated areas.

d. RSPA is requesting $100,000 in FY 1991 to expand the study regarding the feasibility and related costs of installing flow restricting devices in gas and hazardous liquid pipelines in order to reduce the product release if a pipeline ruptures. There appears to be a direct relationship between the amount of product released and the consequences of the rupture in terms of the number of casualties and the amount of property damage. This project will include analysis of state-of-the-art leak detection and control systems utilization in pipeline Supervisory Control and Data Acquisition (SCADA) Systems.

RESEARCH AND DEVELOPMENT

OFFICE OF PIPELINE SAFETY

e. In FY 1991, RSPA is requesting $200,000 to initiate an ongoing study to evaluate hydrostatic testing of gas and hazardous liquid pipelines. Hydrostatic testing is required by the regulations as a proof test for new pipelines prior to operation. Hydrostatic testing or retesting of older pipelines is a method to assure continued structural adequacy of these pipelines. The hydrostatic test methods used today must be studied to determine the optimum test method or methods which will assure the structural integrity of a pipeline while not reducing its ability to operate at its established maximum operating pressure. The issue of pressure reversal and retesting intervals, to assure continued safe pipeline operation, must also be assessed. The duration of the study will be determined by the results of the various phases of the research.

NATURAL GAS AND HAZARDOUS LIQUID PIPELINE SAFETY GRANTS-IN-AID PROGRAM

BACKGROUND

The $5,000,000 requested for FY 1991 will provide a Federal/State Pipeline Safety Program that achieves the purpose of the Natural Gas Pipeline Safety Act of 1968 and the Hazardous Liquid Pipeline Act of 1979.

PROGRAM STRUCTURE AND OBJECTIVES

Grants are awarded to qualified applicants on a calendar year basis. States (defined to include Puerto Rico and the District of Columbia) may qualify in either of the two ways described below:

1. State Certifications - States certified under the NGPSA and/or the HLPSA assume regulatory and enforcement authority over intrastate gas and/or intrastate hazardous liquid pipeline facilities. To qualify, a state must have adopted pipeline regulations at least as stringent as the federal standards and must provide for injunctive and monetary sanctions substantially the same as those authorized by the NGPSA and the HLPSA. In 1989, 48 of the 53 eligible state jurisdictions participated in the federal gas pipeline safety program under section 5(a) and eight in the hazardous liquid pipeline safety program under section 205(a).

2. State Agreements - State agencies which do not satisfy the criteria for a 5(a) certification may enter into a 5(b) agreement to undertake certain aspects of a gas pipeline safety program for intrastate facilities on behalf of the Department. Under a section 5(b) agreement, a state agency will conduct surveillance of pipeline operators to ascertain compliance with federal safety standards. Any probable violations are reported to the Department for federal enforcement action. The hazardous liquid program is based on the gas program agreement under section 205(b). In 1989, 2 states participated under a section 5 (b) agreement and 2 states under section 205(b).

OFFICE OF PIPELINE SAFETY

PROGRAM STRUCTURE AND OBJECTIVES (CONTINUED)

The primary objective of the Natural Gas and Hazardous Liquid Pipeline Safety Grant-In-Aid Program is to create a federal/state partnership in pipeline safety by which each partner executes regulatory responsibilities. It is an appropriate Federal role to establish a consistent, nationwide body of pipeline safety standards. A division of rulemaking authority would subject industry to the costs of attempting to comply with multiple, and possibly inconsistent, regulatory systems. With regard to enforcement, the Federal role is properly focused on interstate transportation. Intrastate enforcement is a role for state governments. Most states have resources devoted to the enforcement of intrastate transportation safety. With technical assistance training from the Federal government, which establishes the safety standards, the states are in the best position to enforce the standards on intrastate pipelines in the most cost-effective manner. The Acts authorize the Secretary of Transportation to reimburse states up to 50 percent of their program costs.

PROGRAM FUNDS	FY 1990	FY 1991	Difference
NATURAL GAS AND HAZARDOUS LIQUID PIPELINE SAFETY GRANT-IN-AID PROGRAM	$4,329,000	$5,000,000	$+671,000

In FY 1991, the Research and Special Programs Administration is requesting $5,000,000, an increase of $671,000 over the FY 1990 level, to fund the natural gas and hazardous liquid pipeline safety grant-in-aid program. This funding is provided to States adopting and enforcing the Federal rules for intrastate natural gas and hazardous liquid pipelines. In FY 1989, ten States participated in the hazardous liquid program. The funding requested for FY 1991 will allow the hazardous liquid grant program's five percent minimum level to be increased to 10 percent, and achieve a funding level similar to that provided State agencies under the natural gas safety grant-in-aid program. Further, it will provide incentive for additional States to participate in the liquid grant program and reinforces RSPA's position that both programs are equally important to public safety. This level of funding will allow for additional funding of the liquid program without a reduction of funds in the natural gas program. By encouraging States to carry out inspection and enforcement activities, which by law are otherwise under Federal jurisdiction, the grant program advances the federalism concept while reducing the amount of Federal dollars required for inspection programs. Although RSPA has made significant progress in increasing state responsibility, over 200 inspection units that should be turned over to the States, as well as a large number of master meter systems, remain a Federal inspection responsibility. Increased grant funding would also provide a more cost effective approach to an increase in inspection capability since States provide matching or greater funding. While the Pipeline Safety Acts permit States to receive up to a 50 percent Federal contribution, no Federal contribution since 1984 has exceeded 31 percent of total state program costs.

WORKING CAPITAL FUND

SUMMARY STATEMENT

The Transportation Systems Center (TSC) is a part of the Research and Special Programs Administration. It conducts research and analysis for all elements of the Department and is the Department's R&D Center for conducting projects in all fields and modes of transportation. Projects assigned to TSC are based on approved programs that require the Center's technical and analytical skills. These projects are conducted by TSC using a combination of in-house staff with private sector and university resources in full accordance with the guidelines of OMB Circular A-76. TSC works closely with its sponsoring organizations and participates in many of the highest priority projects in the Department. The FY 1991 Budget proposes to amend the existing restrictions on changing the status of TSC to allow DOT to plan and analyze alternative future directions for TSC.

STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
WORKING CAPITAL FUND, TRANSPORTATION SYSTEM CENTER

PROGRAM AND FINANCING (In Thousands of Dollars)

Identification code 69-4522-0-4-407	19 89 actual	19 90 estimate	19 91 estimate
Program by Activity:			
10.00 Total Obligations	126,050	140,000	151,025
Financing:			
Offsetting collections from:			
11.00 Federal Funds..................	(102,271)	(121,485)	(132,955)
13.00 Trust Funds....................	(13,915)	(16,529)	(18,070)
14.00 Non-Federal Sources............	(50)	0	
17.00 Recovery of prior year Obligations....................	(777)		
21.90 Unobligated balance available start of year: fund balance....	(11,251)	(2,213)	(227)
24.90 Unobligated balance available, end of year: Fund balance......	2,213	227	227
39.00 Budget authority	0	0	0
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	9,814	1,986	0
72.90 Obligated balance, start of year: Fund balance..........	39,124	47,880	49,866
74.90 Obligated balance, end of year: Fund balance..........	(47,880)	(49,866)	(49,866)
78.00 Adjustments in unexpired accounts......................	(777)		
90.00 Outlays.........................	282	0	0

WCF-2

WORKING CAPITAL FUND

PROGRAM AND PERFORMANCE

The Working Capital Fund finances multidisciplinary research, evaluation, analytical and related activities undertaken at the Transportation Systems Center (TSC) in Cambridge, MA. The fund is financed through negotiated agreements with the Office of the Secretary, Departmental operating administrations, and other governmental elements requiring the center's capabilities. These agreements also define the activities undertaken at TSC.

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
WORKING CAPITAL FUND, TRANSPORTATION SYSTEMS CENTER

OBJECT CLASSIFICATION (In Thousands of Dollars)

Identification code 69-4522-0-4-407	19 actual 89	19 estimate 90	19 estimate 91
Personnel Compensation:			
11.1 Full-time permanent..............	22,710	23,225	23,903
11.3 Other than full-time permanent.......................	827	1,144	1,169
11.5 Other Personnel compensation....................	566	586	583
11.8 Special personal services........	6	7	7
11.9 Total personnel compensation....................	24,109	24,961	25,662
12.1 Personnel Benefits: Civilian.........................	3,885	4,223	4,616
21.0 Travel and transportation of persons......................	1,539	1,750	1,926
22.0 Transportation of things.........	228	236	243
23.3 Communications, Utilities, and miscellaneous charges.......	3,458	3,579	3,686
24.0 Printing and reproduction........	420	466	500
25.0 Other services...................	78,098	87,669	94,904
26.0 Supplies and materials...........	3,437	3,817	4,090
31.0 Equipment........................	10,683	11,865	12,713
32.0 Land and structures..............	193	1,432	2,685
99.0 Total obligations.............	126,050	140,000	151,025
	PERSONNEL SUMMARY		
Total number of full-time permanent positions.........................	520	518	515
Full-time equivalent employment.....	560 *	520 *	514 *
Full-time equivalent of overtime and holidays hours............	4	3	3

* includes non-ceiling FY 1989-13, FY 1990-10, FY 1991-10

WCF-4

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RSPA TRANSPORTATION SYSTEMS CENTER

Representative FY89/90 Accomplishments and FY91 Program Plan Summary

I. BACKGROUND

Under the policy guidance of the Secretary and the RSPA Administrator, the Transportation Systems Center (TSC), located in Cambridge, Massachusetts, conducts transportation research, analysis, and system engineering projects within Congressionally authorized programs of DOT and other federal agencies that involve nationally significant transportation or logistics development initiatives, system acquisitions, or policy deliberations.

TSC is funded through a Working Capital Fund financed through negotiated agreements with the Office of the Secretary, the DOT operating administrations, and other federal agencies. TSC funding authority thereby is derived from that of sponsoring agencies, rather than direct funding appropriation. The agreements define the programmatic activities to be undertaken at TSC on behalf of each funding organization.

II. ACCOMPLISHMENTS

A. Programmatic Activity Overview

During FY89/90, about two hundred fifty projects were active. In FY90, total obligations were projected at $140M, a $14M increase over FY89 obligations of $126M. Major projects reflect TSC support of DOT priorities such as improving national transportation systems and ensuring transportation safety.

TSC's total FY90 program included about $38M of effort in support of transportation and logistics needs of the Department of Defense, pursuant to terms of a specific interdepartmental agreement and the DOT Act (PL 89-670). Consistent with PL 89-670, TSC also conducted about $6M of transportation-related research, development and analysis on behalf of civilian agencies outside of the DOT.

Responsiveness to Particular Congressional Concerns

Throughout the year, TSC assisted the Office of the Secretary and other Federal organizations in responding to transportation-related Congressional concerns. Particularly noteworthy are the following TSC contributions:

- Transit Safety Investigation -- Assisted UMTA to achieve plans for appropriate corrective action in response to Congressional concern that unsafe transit conditions exist in New York City which represent a serious hazard of death or injury.
- Electric Vehicle Assessment -- Researched issues concerning impediments to large-scale development and production of electric vehicles in the U.S. and assisted in the NHTSA draft report to Congress.
- MAGLEV Feasibility Study -- Assisted the FRA to analyze a report to the Congress concerning the technological and economic feasibility of implementing magnetically levitated (MAGLEV) transportation systems.

Acquisition Support to the Secretary of Transportation

TSC supported the oversight role of the Secretary concerning the acquisition of major systems by the operating administrations. Throughout FY90, TSC aided OST in monitoring systems acquisitions of the FAA National Airspace System (NAS) plan. In FY89/90, TSC also facilitated OST policy decisions by providing quick analytical reviews of critical programmatic issues relating to the Coast Guard's acquisitions. Options for achieving greater operational reliability in its fleet of HH-65A search and rescue helicopters were assessed. And, an independent and objective assessment of critical issues was conducted concerning concepts for USCG use of private sector services to maintain aids to navigation.

DOT Intermodal Initiatives

During FY90, TSC supported intermodal Departmental initiatives by stimulating and facilitating national dialogue concerning strategic transportation challenges and opportunities. Topics addressed included: transportation's role in economic growth and competitiveness; technology-based options for meeting future inter-city transportation needs; future prospects for magnetically levitated transportation systems; multi-modal aspects of vertiport planning / development; and, innovative transportation financing concepts.

RSPA TRANSPORTATION SYSTEMS CENTER

B. Representative Contributions to National Transportation Goals

TSC made significant contributions toward national transportation system and logistics priorities. Representative accomplishments addressed:

Safety and Security -- TSC continued its support of key safety initiatives and designated lead Federal agencies for physical, computer and communications security significant to transportation:

* Aging Aircraft Task Force -- Participated in and supported the FAA's industry / government task force to develop methods to ensure the safety of older aircraft operating in the U.S.

* Performed statistical analyses to determine the safety effect of a 65 mph highway speed limit, compared to a 55 mph limit, and a minimum drinking age of 21 years rather than 18 years.

* Conducted research to ensure the enforceability of screening methods used to identify alcohol impaired vehicle operators, and provided expert government testimony in legal proceedings challenging the accuracy and reliability of breath tests.

* Provided expert testimony that enabled the Justice Department to eliminate Federal exposure to a $7 million law suit in which plaintiffs asserted that aircraft wake turbulence resulting from improper aircraft separation caused a small aircraft to crash while landing at the Reno, NV, airport.

* Performed continuing security assessments of mission critical FAA computer networks and risk analyses for portions of the FAA's Advanced Automation System for air traffic control.

* Conducted FAA-sponsored research to develop a security portal for safely and rapidly screening airline passengers to detect concealed explosives using vapor detection technology.

* Assisted the FRA in formulating criteria for regulating the safety of magnetically levitated transportation systems.

RSPA TRANSPORTATION SYSTEMS CENTER

- **Provided the NHTSA and the DOE with technical evaluations of vehicle safety issues such as fuel vapor recovery concepts, the hazards of freon substitutes in air conditioners, and roll-over propensity in autos and utility vehicles.**
- **Continued engineering support of the NHTSA crashworthiness program. Analytical and testing efforts addressed vehicle system components and biomechanics, with emphasis on side impact situations and light duty trucks.**
- Investigated human factors concerns regarding shipboard crew fatigue and its implications for safety in reduced manning regulatory options for the MARAD and USCG.

Modernization of Federal Transportation Systems -- Consistent with priorities to modernize Federal transportation systems (such as the National Airspace System) and to confront critical transportation constraints on economic competitiveness and emergency preparedness, TSC:

- Prepared the annual FAA Airport Capacity Enhancement Plan that projects future airport delay levels and presents FAA strategies for relieving congestion.
- Continued technical assistance to enable the Army to better manage its rail system modernization program and achieve its objectives for $75 million less than initial cost estimates.
- Assisted MARAD to improve vessel navigation and communications on the Great Lakes and the St. Lawrence River.
- Facilitated and drafted the FAA Telecommunications Strategic Plan to achieve an optimal owned and leased telecommunications environment for future operational requirements. The effort targeted opportunities to avoid costs of $163 million per year which otherwise would be incurred by 1993.
- Conducted evaluations at 23 airports to obtain the operational experience necessary to guide expanded implementation of the Loran-C non-precision landing aid; and, recommended modified USCG Loran-C that would improve its utility in aviation.

RSPA TRANSPORTATION SYSTEMS CENTER

- Provided the USCG with an assessment of vessel tracking system improvement options that would enhance monitoring of traffic in Prince William Sound. This effort follows a FY89 TSC/USAF prototype system implemented to aid USCG monitoring of clean-up operations in the wake of the Exxon Valdez oil spill.

- Conducted a cooperative industry / government (FAA/USAF) demonstration of a global aircraft tracking / communications capability based on existing technology and services. This effort advanced awareness of such technology within the aviation community, and stimulated early introduction of private sector commercial products.

Management Support Systems -- Significant achievements resulted from efforts to apply information and automation technology to enhance the effectiveness of Federal transportation system and logistics managers. TSC:

- Completed implementation of an electronic air tariff filing system that reduced OST paperwork by 245,000 pages per year and removed a $50 million industry cost burden associated with the outmoded paper-based process.

- Provided the TSC-developed Advanced Traffic Management System (ATMS) to FAA field sites to assist local FAA traffic managers in solving aviation system capacity and delay problems by regulating traffic flows. The ATMS monitor-alert function was added to ATMS, allowing automated monitoring and projection of air traffic conditions up to four hours into the future to allow air traffic managers to avert major tie ups.

- Installed the National Airspace System Performance Analysis System (NASPAS) at FAA headquarters and regional offices, providing an automated capability for monitoring the condition and operational performance of air traffic control facilities and equipment throughout the nation.

- Improved FAA user access to aviation safety databases, in addition to implementing four new information subsystems.

- Designed and implemented an air surveillance simulation model to enable the USCG to assess operational strategies and system requirements for the detection of general aviation aircraft used for smuggling drugs into the United States.

RSPA TRANSPORTATION SYSTEMS CENTER

- Formulated a FAA management option to develop a $10-15 million information system that could save nearly $10 million annually through improved accountability and cost recovery for vendor telecommunications service outages.
- Provided technical oversight of the UMTA Grants Management Information System efforts to automate grant-related project and financial information.

Transportation Policy, Program and Regulatory Support -- TSC aided policy makers, regulators and program planners by:

- Following its FY89 role in assisting with the outreach efforts associated with Secretary Skinner's policy development effort, TSC assisted in implementing the new policy initiatives. TSC resources supported the policy intent to: rebuild and expand the transportation system; support public safety and national security; protect the environment and our quality of life; and, advance U.S. transportation technology and expertise.
- Preparing the 1990 Federal Radionavigation Plan delineating policies and plans for services provided by the government.
- Supporting the preparation of the annual FAA Plan for Research, Engineering, and Development, thereby supporting the reinvigoration of aviation research and development.
- Conducting an independent assessment of UMTA rail transit investment performance compared to project estimates, and identifying planning mechanisms that tend to minimize cost projections and under estimate system ridership / revenue.
- Increasing FHWA understanding of the linkages between highway system performance and the resultant economic well-being and competitiveness of highway dependent commerce.

III. FY91 PROGRAM PLAN SUMMARY

The program level is determined by sponsor demand and the Center's ability to address requirements. Over the past several years, the demand for TSC support has grown by 10-15% per year. Normal growth will result in TSC obligations of $151 million in FY 1991.

RSPA TRANSPORTATION SYSTEMS CENTER

Beginning in FY89, TSC initiated the use of an innovative contracting plan known as the Multiple Contractor Resource Base (MCRB or OMNI) that was implemented with the cooperation of RSPA headquarters and OST. It provides a set of highly skilled private sector resources that can be quickly and competitively accessed to augment the talents of the federal workforce at TSC. The OMNI mechanism enables TSC to perform its mission without a greatly expanded federal workforce as demand for TSC services grows.

TSC will continue to support national transportation and logistics objectives. The specific activities will be determined by current requirements within Congressionally authorized programs, consistent with the priorities set forth in the 1990 Statement of National Transportation Policy. Emphasis will continue on improving system safety, enhancing security, modernizing federal transportation facilities, developing advanced management support systems, and conducting essential studies supporting national transportation and logistics policy requirements. Within these broad emphasis areas, TSC anticipates the following:

Safety and Security -- Continued strong requirements concerning the structural integrity and crashworthiness of vehicles, with special needs for aging aircraft. Growth related to hazardous material transportation and computer security issues. Significant increases in the application of human factors techniques concerning the human performance aspects of improved transportation safety, including alcohol and substance abuse considerations. And, sustained demand for track safety research and explosives detection technology.

System Modernization -- Sustained or growing demand concerning system capacity enhancements to alleviate air traffic and urban / suburban highway congestion. Increased activity concerning advanced technology (such as communications, navigation and surveillance, including civil applications of satellite-based technology) infrastructure and magnetically levitated / high-speed ground transportation.

Management Support Systems -- Extensive requirements for automated program planning and management aids and decision support systems, especially related to transportation safety applications. An increased interest in advanced traffic surveillance and management techniques based on technologies to serve "just-in-time delivery" and "in-transit visibility" functions intended to reduce logistics costs, enhance oversight of hazardous shipments and increase the effectiveness of drug interdiction and search / rescue missions.

National Policy / Program Formulation -- Growth in the demand for operations research and computer modelling to anticipate and establish policy responses to current situations and future scenarios. Applications are anticipated to be associated with Federal transportation responsibilities such as National Airspace System modernization, capacity enhancement, economic growth and competitiveness, as well as public safety and security assurance.

U.S. Department of
Transportation

BUDGET ESTIMATES

FISCAL YEAR 1991

SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

SUBMITTED FOR USE OF
THE COMMITTEES ON APPROPRIATIONS

SAINT LAWRENCE SEAWAY DEVELOPMENT CORPORATION

Federal Funds

Public enterprise funds:

Saint Lawrence Seaway Development Corporation

The Saint Lawrence Seaway Development Corporation is hereby authorized to make such expenditures, within the limits of funds and borrowing authority available to the Corporation, and in accord with law, and to make such contracts and commitments without regard to fiscal year limitations as provided by section 104 of the Government Corporation Control Act, as amended, as may be necessary in carrying out the programs set forth in the Corporation's budget for the current fiscal year. (Department of Transportation and Related Agencies Appropriations Act, 1990.)

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Program and Financing (in thousands of dollars)

Identification code 69-4089-0-3-703	1989 actual	1990 estimate	1991 estimate
Program by activities:			
00.01 Operations and maintenance......	9,101	9,851	10,255
00.02 Replacements and improvements...	2,026	2,924	1,894
10.00 Total obligations...........	11,127	12,775	12,149
Financing:			
Offsetting collections from:			
13.00 Trust funds....................	-11,097	-11,375	-10,749
14.00 Non-Federal sources: Revenue...	- 1,420	- 1,400	- 1,400
17.00 Recovery of prior year obligations (-)...............	...	-38	...
Unobligated balance available, start of year:			
21.47 Authority to borrow............	- 3,200	- 3,200	- 3,200
21.90 Fund balance....................	-10,061	-11,451	-11,489
Unobligated balance available, end of year:			
24.47 Authority to borrow............	3,200	3,200	3,200
24.90 Fund balance....................	11,451	11,489	11,489
39.00 Budget Authority.............	...	...	...
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	- 1,390	...	...
72.90 Obligated balance, start of year	851	307	269
74.90 Obligated balance, end of year..	- 307	- 269	- 269
78.00 Adjustments in unexpired accounts (-).................	...	-38	...
90.00 Outlays......................	-845	...	...
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DEPARTMENT OF TRANSPORTATION

Saint Lawrence Seaway Development Corporation

Program and Performance

The Saint Lawrence Seaway Development Corporation is a wholly owned Government Corporation responsible for the operation, maintenance and development of the United States portion of the St. Lawrence Seaway between Montreal and Lake Erie. Major priorities are to control Seaway Corporation costs and to encourage increased use of the Seaway system.

Appropriations from the Harbor Maintenance Trust Fund are intended to finance the operation and maintenance of the portion of the Seaway for which the Corporation is responsible.

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Revenue and Expense (in thousands of dollars)

Identification code	1989 actual	1990 estimate	1991 estimate
Operating income or loss (-):			
Operating program:			
Revenue:			
Trust funds	11,097	11,375	10,749
Other	1,420	1,400	1,400
Total revenue	12,517	12,775	12,149
Expense:			
Administrative	1,926	2,020	2,115
Operations	7,175	7,831	8,140
Total expense	9,101	9,851	10,255
Net operating income	3,416	2,924	1,894
Nonoperating income or loss (-):			
Provision for depreciation and losses	2,127	2,160	2,190
Recovery of prior year obligations	...	-38	...
Net nonoperating loss (-)	- 2,127	- 2,122	- 2,190
Net income or loss (-) for year	1,289	802	-296

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Financial Condition (in thousands of dollars)

Identification code	1988 actual	1989 actual	1990 estimate	1991 estimate
Assets:				
Selected assets:				
Fund balance with Treasury.	10,996	11,822	11,401	11,513
Accounts receivable, net...	2,466	1,806	1,806	1,806
Accrued tolls receivable, unbilled..................	339	495	495	495
Selected assets, supplies....	780	877	877	877
Fixed assets, net...........	95,064	94,748	94,666	94,010
Total assets...........	109,645	109,748	109,245	108,701
Liabilities:				
Selected liabilities:				
Accounts payable including funded accrued liabilities	2,354	2,554	2,554	2,554
Government equity:				
Selected equities:				
Unexpended budget authority:				
Unobligated balance......	11,884	13,042	13,080	13,080
Undelivered orders.......	1,377	1,609	1,609	1,609
Unfinanced budget authority:				
Borrowing authority......	- 3,200	- 3,200	- 3,200	- 3,200
Invested capital............	97,230	95,743	95,202	94,658
Total Government equity..	107,291	107,194	106,691	106,147
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STANDARD FORM 304
May 1969, Bureau of the Budget
Circular No. A-11, Revised.
304-103

Department of Transportation
Saint Lawrence Seaway Development Corporation
OBJECT CLASSIFICATION (in thousands of dollars)

Identification code 69-4089-0-3-403	19 89 actual	19 90 estimate	19 91 estimate
Personnel Compensation:			
11.1 Full-time permanent............	4,625	4,735	4,991
11.3 Other than full-time permanent..	172	185	198
11.5 Other personnel compensation....	311	321	345
11.9 Total personnel compensation..	5,108	5,241	5,534
12.1 Civilian personnel benefits.....	1,356	1,440	1,662
21.0 Travel and transportation of persons......................	267	278	290
23.1 Rental payments to GSA..........	132	157	163
23.3 Communications, utilities, and miscellaneous charges.........	279	294	303
24.0 Printing and reproduction.......	58	60	63
25.0 Other services..................	893	1,331	1,146
26.0 Supplies and materials..........	1,008	1,050	1,094
31.0 Equipment.......................	778	2,079	370
32.0 Land and structures............	1,248	845	1,524
99.9 Total obligations.........	11,127	12,775	12,149

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Personnel Summary

Identification code	1989 actual	1990 estimate	1991 estimate
Total number of full-time permanent positions............................	184	179	179
Total compensable workyears:			
Full-time equivalent employment......	169	181	181
Full-time equivalent of overtime and holiday hours......................	4	6	6
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DEPARTMENT OF TRANSPORTATION

Saint Lawrence Seaway Development Corporation

Trust Funds

Operations and Maintenance

(Harbor Maintenance Trust Fund)

For necessary expenses for operation and maintenance of those portions of the Saint Lawrence Seaway operated and maintained by the Saint Lawrence Seaway Development Corporation, [$11,400,000] $10,749,000, to be derived from the Harbor Maintenance Trust Fund, pursuant to Public Law 99-662. (Department of Transportation and Related Agencies Appropriations Act, 1990.)

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STANDARD FORM 300
July 1964, Bureau of the Budget
Circular No. A-11, Revised.
300-101

DEPARTMENT OF TRANSPORTATION
Saint Lawrence Seaway Development Corporation
Program and Financing (in thousands of dollars)

Identification code 69-8003-0-7-403	1989 actual	1990 estimate	1991 estimate
Program by activities:			
10.00 Total obligations (object class 25.0)...................	11,097	11,375	10,749
Financing:			
39.00 Budget Authority................	11,097	11,375	10,749
Budget Authority:			
40.00 Appropriation...................	11,097	11,400	10,749
40.00 Reduction pursuant to P.L. 99-177, 100-119..........	...	-25	...
43.00 Appropriation (adjusted)...	11,097	11,375	10,749
Relation of obligations to outlays:			
71.00 Obligations incurred, net.......	11,097	11,375	10,749
72.40 Obligated balance, start of year	89	730	...
74.40 Obligated balance, end of year..	-730	...	...
90.00 Outlays....................	10,456	12,105	10,749

The Water Resources Development Act of 1986 authorizes use of the Harbor Maintenance Trust Fund as the source of funding for the Corporation's operations and maintenance activities.

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Department of Transportation

Saint Lawrence Seaway Development Corporation

Operations and Maintenance

General Justification

Activities financed under this program include lock and marine operations, maintenance, replacements and improvements, administrative expenses and promotion of the Great Lakes Seaway System. To encourage increased use of the Seaway system, the Corporation will continue to engage in activities designed to increase public awareness of the Seaway. Plans are to also continue programs designed to increase efficiency and to protect existing commerce.

Lock operations and vessel traffic control on the St. Lawrence Seaway are conducted on a 24-hour day, 7-day week basis throughout the shipping season. Marine operations consists of commissioning and decommissioning aids to navigation, channel dredging and maintenance, and tugboat and other floating equipment services. The maintenance program is directed towards keeping facilities in efficient operating condition. Facilities include lock structures and equipment, roads, dikes, floating plant, bridges, buildings and grounds. Major maintenance will continue to be performed on existing facilities during the non-navigation season. Replacements and improvements provide for the continuation and improvement of the navigation system and lock operations, including the replacement of equipment, machinery and tools. Administrative expenses consists of executive management and administration of the Corporation, and includes finance, legal, civil rights, procurement, personnel administration and other related administrative support services.

As defined in OMB Circular A-120, $130,000 is included in the Operations and Maintenance program for consulting services. They would be used to support or improve the quality of management and for studies, analyses and evaluations to improve decision making.

The Corporation plans to fund the FY 1991 program level of $12.1 million from an appropriation request of $10.7 million and from non-toll revenues of $1.4 million. The Operations and Maintenance program requirements are summarized on subsequent pages reflecting an overall decrease of $626,000 from the current fiscal year.

	1990 Estimate	1991 Estimate	Difference
Operating Costs	$ 9,851,000	$10,255,000	$ 404,000
Replacements and Improvements	2,924,000	1,894,000	-1,030,000
Total	$12,775,000	$12,149,000	$- 626,000

Saint Lawrence Seaway Development Corporation

Operating Requirements

	1990 Estimate	1991 Estimate	Difference
Personnel Compensation and Benefits	$6,681,000	$ 7,196,000	$515,000
Other Costs	3,170,000	3,059,000	-111,000
Total	$9,851,000	$10,255,000	$404,000
Permanent Positions	179	179	0

Funding needed to cover operating requirements will increase by $404,000 in FY 1991.

Mandatory Pay Adjustment $ +515,000

The amount of $515,000 is requested for mandatory pay adjustments to cover the following:

1. $90,000 for full-year cost of fiscal year 1990 pay act increase effective January 1, 1990.

2. $112,000 to fund fiscal year 1991 pay increase effective January 1, 1991.

3. $91,000 to fund within grades effective in fiscal year 1991 and within grade increases which were effective for only a portion of fiscal year 1990.

4. $75,000 and $73,000 for increased GS health benefits and wage grade health costs respectively.

5. $74,000 provides funding for increase in FERS costs.

Other Costs Adjustment $-111,000

1. An increase of $74,000 for recurring services reflecting the impact of non-pay cost of living adjustment. Escalation in the price of goods and services is a factor that must be accommodated to maintain the same level of service to shippers in fiscal year 1991.

2. A reduction in other services of $185,000 reflects principally the reduction in the cost of the Army Corps of Engineers structural evaluation of Eisenhower and Snell Locks performed in fiscal year 1990.

Saint Lawrence Seaway Development Corporation

Replacements and Improvements Requirements

	1990 Estimate	1991 Estimate	Difference
Amount	$2,924,000	$1,894,000	$-1,030,000

The amount requested finances:

Capital Projects..$1,524,000

Capital improvement projects include safety improvements, grouting of cracks at Snell Lock, training dike improvement, construction of an auto shop, construction of fixed light No. 55, upgrade of lock control electrical equipment, replacement of windows in control houses and center buildings, replacement of starters for sychronized motors, new tile gages at Snell Lock, and installation of sector light at Cat Island.

Equipment..$ 370,000

Capitalized equipment includes funds to replace oil boom equipment, air compressors at locks, and gatelifter generators. Other equipment items include lock performance recording system, visibility data recording system, computer equipment, office equipment and PA system for the gatelifter.

NEW ODD PAGE

Department of the Treasury

SAINT LAWRENCE SEAWAY TOLL REBATE PROGRAM

1789

Justification for Appropriations
Fiscal Year 1991

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FINANCIAL MANAGEMENT SERVICE, St. Lawrence Seaway Toll Rebate Program

ANALYSIS OF FISCAL YEAR 1990 AUTHORIZED LEVEL

	Permanent Positions	FTE Positions	Amount ($000)
FY 1990 Appropriation (P.L. 101-164)	5	5	$10,050
Adjustments:			
FY 1990 Reduction (P.L. 101-164)	0	0	($30)
Authorized Level for FY 1990	5	5	$10,020
Estimate for FY 1991	5	5	$10,789

DIGEST OF FISCAL YEAR 1991 BUDGET ESTIMATES BY ACTIVITIES
(Dollars in Thousands)

	Actual		Authorized Level		Budget Estimate		Increase (+) or Decrease (-) for FY 1991			
	FY 1989		FY 1990		FY 1991		Total Changes		Program Changes	
	FTE Pos.	Amount	FTE Pos.	Amount	FTE Pos.	Amount	FTE Pos.	Amount	FTE Pos.	Amount
St. Lawrence Seaway Toll Rebate Program	5	$11,145	5	$10,020	5	$10,789	0	$769	0	$769
Unobligated balance available, SOY	--	--	--	--	--	--	--	--	--	--
Unobligated balance available, EOY	--	--	--	--	--	--	--	--	--	--
Unobligated balance lapsing	--	--	--	--	--	--	--	--	--	--
Total appropriation, authorized level and budget estimate	5	11,145	5	10,020	5	10,789	0	769	0	769
Permanent positions	5		5		5		0		0	

Financial Management Service, St. Lawrence Seaway Toll Rebate Program

SUMMARY JUSTIFICATION OF FY 1991 BUDGET ESTIMATES

General Statement

The Harbor Maintenance Revenue Act of 1986 (P.L. 99-662, November 17, 1986) amended the Internal Revenue code to establish a harbor maintenance tax to be collected by the U.S. Customs Service on cargo imported to or exported from the United States, and established the Harbor Maintenance Trust Fund for deposit of these tax revenues. Section 805 of the Act requires that tolls collected by the St. Lawrence Seaway Development Corporation be transferred to the Harbor Maintenance Trust Fund, but that such tolls be rebated to those who were assessed.

The Act assigned the St. Lawrence Seaway Toll Rebate Program administrative and rebate responsibilities to Treasury, which have been assumed by FMS. Funding requirements for the St. Lawrence Toll Rebate Program in FY 1991 are estimated to be $10,789,000, including administrative funds of $261,000 and 5 FTE positions.

Administrative responsibilities include the following:

- Promptly authorizing and making rebate payments;
- Maintaining general ledger accounts, recording receipt and disbursement information, and interacting with the St. Lawrence Seaway Development Corporation to resolve data discrepancies;
- Preparing all reports required by law and regulation and in response to ad hoc requests; providing estimates of program activity for budget and finance estimates;
- Managing the investment activity for transferred receipts awaiting disbursement; and
- Maintaining liaison with the St. Lawrence Seaway Development Corporation, Treasury's Office of Tax Analysis and other involved agencies in order to resolve any policy or management issues.

DEPARTMENT OF THE TREASURY

FINANCIAL MANAGEMENT SERVICE

Federal Funds

General and special funds:

ST. LAWRENCE SEAWAY TOLL REBATE PROGRAM

For rebate of the United States' portion of tolls paid for use of the St. Lawrence Seaway, pursuant to Public Law 99-662, [$10,020,000] $10,789,000, to remain available until expended and to be derived from the Harbor Maintenance Trust Fund, of which not to exceed [$250,000] $261,000 shall be available for expenses of administering the rebates.

EXPLANATION OF FISCAL YEAR 1991 BUDGET INCREASES AND DECREASES

Funding requirements for the St. Lawrence Seaway Toll Rebate Program in FY 1991 are estimated to be $10,789,000 and five FTE positions. This is an increase of $769,000 from the FY 1990 funding level of $10,020,000.

PROGRAM CHANGES

Total Requested Program Changes	$ 769,000

Program Increases:

The program increases requested for FY 1991 consist of increases in administrative costs of $11,000, reflecting an inflation rate of 4.2%; and increases in toll rebates of $758,000. The toll rebate increase from FY 1990 to FY 1991 restores the FY 1990 reduction amount of $30,000 (P.L. 101-164), and further increases the FY 1991 amount expected to be rebated, reflecting revised estimates received from the St. Lawrence Seaway Corporation.

Increases are broken down into the following object classes:

Communications, Utilities and Other Rent	$ 3,000
Other Services	766,000

FINANCIAL MANAGEMENT SERVICE, St. Lawrence Seaway Toll Rebate Program

Standard Classification Schedule
(Direct Obligations only, $000)

	FY 1989 Actual	FY 1990 Authorized Level	FY 1991 Appropriation Request	FY 1991 Increase/Decrease from FY 1990
Total number of permanent positions.............	5	5	5	0
Full Time Equivalent (FTE) workyears............	5	5	5	0
Object classification				
Personnel compensation:				
Full-time permanent positions................	$122	$131	$131	$0
Other personnel compensation.................	2	4	4	0
Total personnel compensation..............	124	135	135	0
Personnel benefits............................	22	25	25	0
Travel and transportation of persons..........	0	6	6	0
Rental payments to GSA........................	2	49	52	3
Communications, utilities, and miscellaneous charges....................................	4	1	1	0
Printing and reproduction.....................	1	1	1	0
Other services................................	10,990	9,793	10,559	766
Supplies and materials........................	2	6	6	0
Equipment.....................................	0	4	4	0
Total Obligations.........................	11,145	10,020	10,789	769
Unobligated balance lapsing...................	---	---	---	---
Obligations of prior year funds...............	---	---	---	---
Total Appropriation, Authorized Level, and Budget Estimate............................	11,145	10,020	10,789	769

United States
Architectural and Transportation Barriers Compliance Board

1111 Eighteenth Street, N.W. • Suite 501 • Washington, DC 20036-3894 • 202-653-7834 • FAX 202-653-7863

NEW ODD PAGE

February 6, 1990

Honorable William Lehman
Chairman
Committee on Appropriations
Subcommittee on Transportation
United States House of Representatives
Washington, D.C. 20515-6027

Dear Mr. Chairman:

Enclosed is the justification for the Fiscal Year 1991 appropriation for the Architectural and Transportation Barriers Compliance Board.

The Board is requesting funding in the amount of $2.1 million, an increase of $164,000 over its FY 1990 adjusted appropriation of $1.936 million. We feel this increase is necessary to enable us to continue our public outreach activities to inform both the federal and public sectors of the requirements and benefits of accessible design and to expeditiously resolve consumer complaints filed pursuant to the Architectural Barriers Act of 1968, as amended (ABA).

Our Fiscal Year 1991 activities are designed to address the urgent needs of disabled Americans for equal access within the environment. We all agree that an accessible environment fosters hope and opportunities for all persons and eliminates the development of unnecessary and undesirable dependency. We all agree that a suitable, usable environment must be provided for Americans with disabilities. The ATBCB is committed to continuing its work towards a society unmarred by the barriers that discriminate against these individuals. If we can provide additional information to the Committee, please do not hesitate to contact us.

Sincerely,

Lawrence W. Roffee FOR
Stanley W. Smith
Chair

The Access Board

JUSTIFICATION OF APPROPRIATION ESTIMATE
FOR COMMITTEES ON APPROPRIATIONS
FISCAL YEAR 1991

ARCHITECTURAL AND TRANSPORTATION
BARRIERS COMPLIANCE BOARD

ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD

Fiscal Year 1991 Budget **Page No.**

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Amounts available for obligation.......................... 2

Average grade and salary.................................. 2

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ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD

For expenses necessary for the Architectural and Transportation Barriers Compliance Board, as authorized by Section 502 of the Rehabilitation Act of 1973, as amended, [$1,950,000] $2,100,000.

(Department of Transportation and Related Agencies Appropriations Act, 1990).

ARCHITECTURAL AND TRANSPORTATION BARRIERS COMPLIANCE BOARD

Amounts Available for Obligation

	1989 Actual	1990 Appropriation	1991 Estimate
Appropriation	$1,891,000	$1,950,000	$2,100,000
Reduction pursuant to P.L. 99-177		- 14,000	---
Appropriation adjusted	$1,890,154	$1,936,000	$2,100,000
Unobligated balance lapsing	- 19,154	---	---
Total obligations.......	$1,871,000	$1,936,000	$2,100,000

Average Grade and Salary

	1989 Actual	1990 Estimate	1991 Estimate
Average GS Grade	10.95	11.28	11.28
Average Salary	$35,120	$37,792	$40,958

Summary of Changes
(in thousands of dollars)

1990 Appropriation (adjusted)	$1,936
1991 Estimated Budget Authority	$2,100
Net Change	+$164

	1990 Base	Change from Base
INCREASES:		
Program:		
1. Full-time permanent positions	907	+ 76
2. Positions other than permanent	137	+ 14
3. Other personnel compensation	14	+ 5
4. Special personnel services	0	+ 2
5. Travel	112	+ 16
6. Rental payments to GSA	115	+ 8
7. Communications, utilities and miscellaneous charges	53	+ 10
8. Printing and reproduction	31	+ 17
9. Supplies	10	+ 5
10. Equipment	12	+ 12
INCREASES:		
Built-in:		
1. Personnel benefits	170	+ 10
DECREASES:		
Program:		
1. Research and technical assistance	252	- 4
2. Administrative contracts	123	- 7

Budget Authority by Object
(in thousands of dollars)

	1990 Appropriation	1991 Estimate	Increase/ Decrease
Total number of permanent positions	24	24	-0-
Full-time equivalent of all other positions	4	4	-0-
Total compensable workyears	28	28	-0-
Personnel compensation:			
Full-time permanent positions	907	983	+ 76
Positions other than permanent	137	151	+ 14
Other personnel compensation	14	19	+ 5
Special personal services payments	0	2	+ 2
Subtotal personnel compensation	1,058	1,155	+ 97
Personnel benefits	170	180	+ 10
Travel	112	128	+ 16
Rental payments to GSA	115	123	+ 8
Communications, utilities and miscellaneous charges	53	63	+ 10
Printing and reproduction	31	48	+ 17
Other services:			
Research and technical assistance	252	248	- 4
Administrative	123	116	- 7
Supplies	10	15	+ 5
Equipment	12	24	+ 12
Total budget authority by object	1,936	2,100	+164

Authorizing Legislation

	Legislative Citation	1990 Amount Authorized	1991 Amount Authorized
Architectural and Transportation Barriers Compliance Board	Rehabilitation Act of 1973, as amended, Section 502(i), P.L. 98-221; 29 U.S.C. 792.	$3.0 Million	$3.0 Million

Architectural and Transportation Barriers Compliance Board 1/

	Budget Estimate To Congress	House Allowance	Senate Allowance	Appropriation
1973				
1974	84,000	84,000	84,000	84,000
1975	220,000	220,000	220,000	220,000
1976	500,000	500,000	500,000	500,000
1977	640,000	640,000	640,000	640,000
1978	1,000,000	1,000,000	1,000,000	1,000,000
1979	1,000,000	1,000,000	1,000,000	1,000,000
1980	1,626,000	1,021,000	1,626,000	1,626,000
1981	2,300,000	2,300,000	2/	2,300,000
1982	2,374,000 3/	2,070,000	1,821,000	1,900,000
1983	--- 4/	1,900,000	2,020,000	2,020,000
1984	1,700,000	1,900,000	1,900,000	1,900,000
1985	2,000,000	2,150,000	2,000,000	2,000,000 5/
1986	1,930,000	2,000,000	1,975,000	1,975,000 6/ (1,890,000 after sequestration)
1987	1,975,000	1,975,000	1,890,000	1,890,000 7/
1988	2,040,000	1,891,000	1,970,000	1,891,000 8/
1989	2,000,000	2,000,000	1,891,000	1,890,154 9/
1990	2,000,000	1,950,000	1,950,000	1,950,000 10/ (1,936,000 after sequestration)
1991	2,100,000			

1/ Prior to FY 1981, funds were authorized for Board purposes but no appropriations were explicitly made. The Board received funds through the Office of Human Development Services, Department of Health, Education and Welfare. The numbers shown are estimates based upon funding which became available to the Architectural and Transportation Barriers Compliance Board.

2/ The Senate did not provide an allowance for 1981. The House and Senate agreed on a continuing resolution (Public Law 96-536) in effect through June 5, 1981.

3/ A revised budget recommended that the Board not be funded.

4/ The President's budget recommended that the Board not be funded.

5/ No separate appropriation was enacted. The Board operated under a continuing resolution (Public Law 98-473) in effect through September 30, 1985.

6/ The Board's appropriation (as part of the Department of Transportation and Related Agencies Appropriation Act, 1986) was included in the continuing resolution (Public Law 99-190) in effect through September 30, 1986. The appropriation was later reduced to $1,890,000 as required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177).

7/ The Board's appropriation (as part of the Department of Transportation and Related Agencies Appropriation Act, 1987) was included in the continuing resolution (Public Laws 99-500 and 99-591, section 101(1) by reference to the conference version of H.R. 5205).

8/ The Board's appropriation (as part of the Department of Transportation and Related Agencies Appropriation Act, 1988) was included in the continuing resolution (Public Law 100-202).

9/ The Board's appropriation was reduced by approximately $846.00 (15% of the amount spent for consulting services in FY 1987) pursuant to Public Law 100-457).

10/ The Board's appropriation (as part of the Department of Transportation and Related Agencies Appropriation Act, 1987) was included in the continuing resolution (Public Law 101-164). Further, the Board's appropriation was reduced to $1,936,000 as required by the Balanced Budget and Emergency Deficit Control Act of 1985 (Public Law 99-177) and the Bipartisan Budget Agreement.

Account Summary

	1989 Actual	1990 Estimate	1991 Estimate
Architectural and Transportation Barriers Compliance Board			
Total Budget Authority..........	$1,890,854	$1,936,000	$2,100,000
Obligations.....................	$1,871,000	$1,936,000	$2,100,000

Architectural and Transportation Barriers Compliance Board
(Rehabilitation Act, Section 502)

BUDGET AUTHORITY:

1990		1991		Increase/Decrease
FTE	B.A.	FTE	Request	
28	$1,936,000 (adjusted)	28	$2,100,000	+$164,000

General Statement

In recognition of the problems facing persons with disabilities in gaining access to federally occupied and funded buildings and facilities, Congress enacted the Architectural Barriers Act (ABA) of 1968 (P.L. 90-480). When it was later deemed that this legislation had not sufficed in eliminating architectural barriers, Congress, in the Rehabilitation Act of 1973 (P.L. 93-112), created the Architectural and Transportation Barriers Compliance Board (ATBCB or Access Board) to enforce compliance with the standards prescribed under the previously enacted statute. The 23 member board is composed of 12 public members appointed by the President and 11 Federal Agency heads (Executive Level IV and above). The twelfth public member was added as a result of the 1986 amendments to the Rehabilitation Act. Six of the twelve public members must be people with disabilities.

The ATBCB's legislative mandate addresses the desire of Congress to ensure that citizens with disabilities have an opportunity to participate fully in all activities of public life, (H.R. Rep. No. 750, 91st Cong., 1st Session (1969)). Accordingly, the Board's statutory responsibilities, under Section 502 of the Rehabilitation Act of 1973, 29 U.S.C. Section 792, and as amended, include:

(1) to ensure compliance with the Architectural Barriers Act of 1968, as amended;

(2) "to establish minimum guidelines and requirements for standards issued pursuant to... the Architectural Barriers Act of 1968" 29 USC 792(b)(7); [The Board published Minimum Guidelines and Requirements for Accessible Design (MGRAD) on August 4, 1982, 36 CFR Part 1190, culminating more than two and one-half years of rulemaking. The MGRAD provides the basis for accessibility standards issued by the General Services Administration, Department of Defense, U.S. Postal Service, and the Department of Housing and Urban Development. On August 7, 1984, these four standard-setting agencies published the Uniform Federal Accessibility Standards (UFAS) which meet or exceed the MGRAD minima.]

(3) "investigate and examine alternative approaches to (the elimination of) the architectural, transportation, communication and attitudinal barriers confronting handicapped individuals,..." (29 USC 792(b)(2)); and,

(4) "...develop standards and provide appropriate technical assistance to any public or private activity, person, or entity affected by regulations prescribed pursuant to this title (Title V) with respect to overcoming architectural, transportation, and communication barriers." (29 USC 792(d)(3)).

The Board's mandates are implemented through agency initiatives in the areas of compliance and enforcement, research, technical assistance, legal remedies, and public education. In carrying out these functions, the Board may, as appropriate, use the following authorities: conduct investigations; hold public hearings; issue final compliance orders (subject to judicial review) directing corrective action and/or withholding or suspending Federal funds; bring a civil action in any appropriate U.S. District Court; appear and participate in any court in a state in civil actions related to the Architectural Barriers Act; make grants and contracts; appoint staff under the supervision of an Executive Director; and provide technical assistance related to architectural, transportation and communication barriers.

FY 1989 ACHIEVEMENTS

During the past year, the Board has:

- continued reducing the backlog of complaint cases (269 cases closed in 1988; 317 cases closed in 1989);
- expanded on-site compliance visits (from 10 visits in 1988 to 25 visits in 1989);

- implemented the automated Complaint Tracking System for the production of status reports, follow-up ticklers and other compliance information;
- continued improvement in working relationships with Federal agencies to resolve barriers' complaints in an expeditious manner;
- held public forums in New Orleans, Tampa and Portland, Oregon;
- improved content and format of the Access America quarterly newsletter;
- prepared and presented education programs on UFAS and accessibility issues across the country;
- conducted an indepth review of the Minimum Guidelines and Requirements for Accessible Design (MGRAD);
- focused technical research on accessible/adaptable housing issues;
- responded to more than 3,000 requests for technical assistance and information with over 1,200 information packages and 21,000 copies of the Uniform Federal Accessibility Standard (UFAS) mailed to requestors;
- participated in the beginning phase of the ANSI review process;
- updated our product literature and library collections;
- began development of a computerized inquiry tracking system which, when completed, will permit the easy identification of types of inquiries and target audiences both for the efficient dissemination of existing publications and technical information and the identification of areas where new publications or information resources are needed; and,
- began computerization of the technical services library.

The following technical assistance projects were funded in FY 1989:

- UFAS Retrofit Manual
- Housing Accessibility Information System
- Mobility Aid Securement Brochure
- UFAS Checklist

- Accessibility Product Collection
- NIAE Student Design Program
- Airport Access for Hearing Impaired Persons: Two Case Studies

In addition to these projects, the Access Board has written and published the following brochures and technical papers:

- Visual Alarms brochure;
- Hands-on Architecture technical paper;
- Transit Facility Design for People With Visual Impairments brochure; and,
- Assistive Listening Systems brochure update and reprint.

FY 1991 GOALS AND OBJECTIVES

For Fiscal Year 1991 the Board intends to focus its limited resources on critical activities in each of its functional units to fulfill its legislative charges. The following program goals and objectives were approved by the Board as part of its five-year plan.

Compliance and Enforcement Program

The ATBCB is mandated to ensure compliance with the standards prescribed pursuant to the Architectural Barriers Act of 1968, including, but not limited to, enforcing all standards under that Act and ensuring that all waivers and modifications of standards are based upon finding of fact and are not inconsistent with the provisions of the ABA and Section 502 of the Rehabilitation Act.

The Office of Compliance and Enforcement (OCE) has primary responsibility for fulfilling this aspect of the agency's mandate. It is Congress' intent (as expressed in the 1978 Senate Report, S. Rep. 890) that the compliance function be the Board's main responsibility under the law.

Architectural barriers complaints are processed in accordance with the Board's complaint processing rules which are found at 36 CFR Part 1150. Emphasis in these rules is on amicable resolution of access issues. In addition, the rules provide for participation in civil proceedings as necessary where authorized. Legislative authority for enforcement is pursuant to Section 502(d) of the Rehabilitation Act of 1973, 29 U.S.C. Section 792(d).

Compliance specialists, under the supervision and direction of the unit manager, conduct the investigative work involved in resolving complaints. The specialists are assisted periodically by staff from the Office of Technical and Information Services (OTIS) and the Office of General Counsel (OGC) as necessary to resolve technical and legal issues which may arise.

The OCE has made tremendous progress in reducing the backlog of compliance cases which have accumulated over the years. Accordingly, in FY 1991 adequate staff resources are crucial to continuing the timely processing of cases and the prevention of processing delays in the future. At the end of September 1989, OCE had opened 176 new FY 1989 cases and closed 317. We anticipate opening approximately 200 new cases in FY 1991.

The following goals and objectives will be accomplished by OCE staff in FY 1991.

Goal 1: **Maintain and improve current levels of compliance and enforcement efforts through effective complaint investigations and resolutions.**

Objective 1: Maintain and improve current levels of complaint processing to achieve compliance with the Architectural Barriers Act of 1968.

Objective 2: Continue to improve and revise complaint processing documentation and print materials.

Objective 3: Coordinate with the OGC to review and revise complaint processing regulations found at 36 CFR Part 1150 et. seq.

Goal 2: **Maintain compliance and enforcement information base.**

Objective 1: Implement refined compliance processing and reporting activities using the fully operational Complaint Tracking System (CTS).

Objective 2: Publicize OCE/agency accomplishments with respect to its compliance and enforcement role (cases closed following corrective action).

Technical Assistance and Research Programs

Research and technical assistance priorities of the Board are implemented through its Office of Technical and Information Services (OTIS). The primary functions of OTIS are to: promote architectural, transportation, communication and attitudinal accessibility; increase understanding and awareness of the requirements of the ABA and the Uniform Federal Accessibility Standards; increase knowledge and awareness of the problems caused by lack of access; provide timely and effective answers to questions raised by the public and private sectors on accessibility

issues; and, further knowledge and understanding of accessible design.

Specific activities include: (1) developing and implementing the agency's education program; (2) providing technical assistance and responding to inquiries; (3) developing and updating agency technical publications; (4) updating and maintaining the Board's comprehensive library collection and providing library services; (5) working with the Board's Technical Programs Committee to develop research and technical priorities; (6) providing support to the agency's compliance and enforcement efforts; (7) coordinating and implementing the Board's research and technical contracts and cooperative projects; and (8) pursuing initiatives on transportation accessibility.

FY 1991 goals and objectives for the ATBCB's technical assistance and research programs are as follows.

Goal 1: **Implement appropriate public education efforts.**

Objective: Develop (for Board review and approval) and implement educational programs to promote the agency's mission and initiatives.

Goal 2: **Maintain the minimum guidelines as a state-of-the-art accessibility document.**

Objective: Participate in ANSI revision process and initiate MGRAD revisions based on recent Board research and to make the document more user-friendly.

Goal 3: **Establish priorities for the Board's research and technical programs**

Objective 1: Develop for Board review and approval an annual agenda for research and technical projects and ensure appropriate implementation of Board decisions in these areas.

Objective 2: Develop programs for Board review and approval, and carry out activities that support and improve the agency's ability to provide technical assistance regarding accessibility of buildings and facilities, specifically focusing on critical transportation accessibility issues and housing designed for people with disabilities.

Goal 4: **Enhance current outreach and initiatives addressing the accessibility needs of individuals with sensory impairments.**

In support of the above objectives, the Board has approved an ongoing educational/public outreach plan; a research program which emphasizes a periodic review of MGRAD and focused research in specific areas--the focus will be transportation in FY 1991 and FY 1992; and, an ongoing program of technical information and assistance.

The ATBCB's ongoing educational/public outreach initiatives have met with widespread success. Staff has provided UFAS training to approximately 33 Federal agencies and private entities in FY 1989 upon their request. We plan to continue and enhance the level of this particular type of technical assistance in FY 1991 to adequately respond to the increasing number of requests. We will be initiating development of training materials and programs which, in the future, will enable us to reduce our costs for providing the training while at the same time reaching a wider audience.

ATBCB agency publications and technical information also are distributed in response to written and verbal inquiries. Since October 1, 1988, we have responded to approximately 3,000 requests for technical information, mailed out more than 1,200 packets of information and 21,200 copies of the UFAS. Since we anticipate the number of incoming requests for information to increase in the future, budget increases to support the additional workload are reflected in the administrative portion of the ATBCB's budget request.

As part of its outreach plan, the ATBCB will continue to provide an opportunity for presentation of oral and written testimony at each of its out-of-town Board meetings. This program has been very successful as measured by the attendance rate at each of the meetings held during FY 1989 and continued in FY 1990. Further, it has been most useful in providing an opportunity for the Board to ensure its initiatives reflect the needs of those most affected by ATBCB policies and programs. Corresponding budget increases in staff travel and other appropriate categories of administrative expenses are necessary to support this initiative.

The Board approved the following transportation-related projects for FY 1991. The years 1991 and 1992 have been designated transportation focus years:

(1) Training Materials: Both general and transportation facility related materials will be developed. Materials will include the development of UFAS training videotapes and slide materials, for use in a training program aimed at UMTA Regional Officials and transit agencies.

(2) Database: Creation of a computerized, easily updated, database on urban mass transportation services for people with disabilities throughout the country.

(3) Wheelchair Compatibility and Securement Technical Assistance: Research the compatibility of different wheelchairs with current vehicles and platform lift configuration and securement equipment and produce technical assistance materials to assist consumers, manufacturers and transit providers choose or develop appropriate equipment.

(4) Accessibility Related Needs of Hearing and Visually Impaired Persons in Transportation Facilities: A project to examine the needs of hearing and visually impaired individuals in using transit facilities, primarily focusing on urban mass transportation facilities and airports. The project will address issues of safety, communication and wayfinding concerns and identify existing technology that could be incorporated in transit facilities to address these concerns. Examples of such technology includes a variety of visual signs, detectable warning surfaces, TDDs, auditory or talking signs, and equipping fare card machines with verbal annunciators.

General Counsel/Legal

The Board's Office of General Counsel (OGC) provides a wide variety of legal services in connection with litigation, compliance and enforcement and related matters. Attorneys in this office research and prepare legal opinions on questions involving parameters of the Board's jurisdiction and advising on administrative proceedings.

The OGC furnishes legal services to the Board and Executive Director on matters pertaining to administrative and substantive operations of the Board. The attorneys provide advice and counsel on agency ethics matters, budget questions, transportation issues, contracting matters, parliamentary procedures, personnel issues and litigation, and grievance inquiries. Also it is responsible for developing, maintaining and implementing the agency's drug program and preparing all agency draft and final rulemaking. The OGC also coordinates all Freedom of Information and Privacy Act requests directed to the Agency.

Goal 1: Provide appropriate legal services to the agency.

Objective 1: Provide legal services as are necessary to support the Board's policy-making needs as well as the agency's compliance, administrative, and substantive needs.

Objective 2: Prepare draft and final rulemaking concerning agency's policies and procedures under the Board's direction.

Objective 3: Implement the Board's legislative program.

Objective 4: Expand public awareness activities regarding legal issues relative to the mission of the Board.

Objective 5: Continue implementation of the agency's drug testing program.

General and Administrative Services

The ATBCB's administrative and information functions are accomplished within the Office of the Executive Director (OED) through the Executive Director, other professional and clerical personnel assigned to the OED, and through support services agreements with the Department of Education and the General Services Administration.

Administrative functions include, in part, (1) provision of necessary administrative and clerical support for 11 Federal and 12 public Board members; (2) basic agency administrative operations in support of Board program activities; (3) preparation of testimony and other necessary documents for congressional hearings; (4) administrative support for agency participation in educational/informational workshops and conferences; (5) preparation and submission of the Board's budget request to OMB and Congress; and, (6) preparation of the Board's annual report to the President and Congress.

In FY 1991, OED will continue providing the services outlined above and will implement the following objectives.

Goal 1: **Maintain Board's planning and coordination activities.**

Objective 1: Establish annual Board meeting schedule and topics for each meeting.

Objective 2: Review Board's policies, goals, and legislative recommendations.

Objective 3: Evaluate the effectiveness of the Board's public outreach programs and contacts.

Goal 2: **Maintain efficiency of Board and agency operations.**

Objective 1: Implement periodic skill-development presentations at Board meetings to allow tenure to be a developmental experience.

Objective 2: Implement comprehensive staff training plan.

Objective 3: Expand use of computer network and upgrade central file server equipment.

Objective 4: Implement agency audit recommendations.

FY 1991 Budget Policy

To continue the Architectural and Transportation Barriers Compliance Board's efforts to minimize barriers to access and use by persons with disabilities, $2,100,000 is requested in Fiscal Year 1991--an increase of $164,000 from the FY 1990 level.

The FY 1991 budget has been prepared in a manner which is consistent with the fiscal goals of the Administration. The Board has made every effort to deploy resources as effectively as possible and to reduce expenditures whenever feasible. However, the requested amount is essential to effectively and efficiently discharge our congressional mandates.

Interstate Commerce Commission

Budget Estimates

Fiscal Year 1991

INTERSTATE COMMERCE COMMISSION
FISCAL YEAR 1991 BUDGET ESTIMATES

Salaries and Expenses
Payments for Directed Rail Service

Submitted to Congress -- January 1990

INTERSTATE COMMERCE COMMISSION

FISCAL YEAR 1991 BUDGET ESTIMATES

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SUMMARY AND HIGHLIGHT STATEMENT

The Interstate Commerce Commission is an independent agency created by Congress to regulate interstate surface transportation in order to ensure that the public has an adequate, efficient transportation system.

The Commission's FY 1991 budget request, under current legislation, totals $43.777 million and provides for 645 staff-years. The staff-year request represents a 68-percent reduction in staffing since 1979. This decrease is illustrated by the chart on page 7.

The Commission's FY 1991 budget provides for the performance of our present regulatory duties and assumes no legislative changes. The charts on pages 8-11 illustrate the planned FY 1991 distribution of staff resources by mode, carrier type, and office.

The FY 1991 budget request reflects the Commission's continuing commitment to make efficient use of resources by proposing a funding level adequate to meet management objectives and commitments while responding to the national objective of reducing the Federal deficit and controlling Federal spending. The Commission has recently made significant progress in reducing pending cases in several areas. Some of the more significant motor accomplishments include: preparing a final rule for submission and evaluation of safety fitness evidence in licensing proceedings; completing final or interim action on all motor rate bureau cases; developing a new licensing application for permanent and temporary authorities to simplify the process for the public; preparing numerous decisions establishing the Commission's jurisdiction in cases where lower rates were negotiated but never filed; continuing to resolve conflicts of intrastate and interstate jurisdiction; and modifying regulations to simplify transfer of operating authority.

The Commission recently approved revisions to its tariff regulations to allow all carriers the option of filing tariffs electronically. Prior to the effective date and in response to the concerns of the trucking industry, the Commission stayed implementation of these regulations to further examine that industry's concerns. A recent decision allowed rail carriers to file their tariffs electronically, providing these carriers more flexibility in tariff formats and reducing the volume of printed tariffs currently being filed.

In the rail program, the Commission issued a number of decisions on policy issues and pending cases dealing with market dominance, rail line abandonment, competitive access, rate reasonableness, and revenue adequacy. Some of the more significant rail accomplishments included: resolving issues pertaining to rates on recyclable commodities, including the rules and procedures for monitoring statutory compliance and rate reasonableness; establishing the procedural rules for review of arbitral awards regarding Commission-imposed employee protective conditions; pooling of car service with respect to flatcars (Trailer Train); adopting streamlined procedures for State recertification of intrastate railroad regulation; addressing the implementation of the National Trails System Act involving the environmental effects of interim trail use, allegations of unconstitutional taking of reversionary property for interim trail use, and the regulation and reporting of maintenance of trails; and amending abandonment regulations as to the treatment of return on investment for equipment as an element of avoidable cost, the reallocation of the burden of proof as to property taxes, and the expansion of the offer of financial assistance program.

The Commission exercised its directed rail service authority when the Delaware and Hudson Railway Company filed for Chapter 11 bankruptcy reorganization on June 20, 1988, and shippers were threatened with loss of rail service. The Commission ordered directed rail service on the Delaware and Hudson lines to be provided without Federal subsidy or compensation by the New York, Susquehanna and Western Railway Corporation through February 13, 1989. Subsequently, the Commission determined and certified that an emergency situation having an adverse effect on a substantial region of the United States existed and issued an emergency order effective through March 16, 1990. Additionally, because of the adverse cash position of the Chicago, Missouri and Western Railway Company, the Commission issued service orders authorizing two railroads to provide for continuation of service without Federal compensation. The October 16, 1989, order was for service on a line which was subsequently sold; and the November 3, 1989, order was for service on a line in the process of being sold. The Commission recently extended the latter order until February 1, 1990.

The Commission has continued to implement findings of the Railroad Accounting Principles Board (RAPB). Recent implementation actions include: adopting the Productivity Principle for calculating the Rail Cost Adjustment Factor; adopting the Uniform Railroad Costing System as the preferred general purpose costing system; modifying the rules regarding abandonment and light-density surcharge proceedings to comply with cost-of-capital principles; adopting the Entity Principle used in revenue adequacy determinations; and evaluating compensation for competitive access in merger cases. The Commission has now forwarded to Congress four semi-annual reports on the status of RAPB implementation.

While the FY 1991 budget estimates reflect some reductions in program operations consistent with projected decreases in staff-years and workload, these reductions are partially offset by cost increases for personnel compensation and benefits. Increased personnel compensation and benefit costs reflect one-half of the proposed 3.5 percent general schedule pay raise and the executive schedule pay increase proposed for January 1991, projected increases in the Government's share of health benefits premiums and FICA rates, and a higher salary cap. The cost increases in travel provide for the return to pre-FY 1990 levels which were reduced by the FY 1990 Gramm-Rudman-Hollings sequester. Increases in the other services object class provide a normal level of training and furniture and equipment for replacement of obsolete and unreliable administrative equipment and ADP peripheral equipment. Decreases in transportation of things, rental payments to GSA, and communications and utilities (due to an expected savings in FTS communications costs) will partially offset other increases.

VICE CHAIRMAN PHILLIPS, (commenting):

The budget document that a majority of the Commission has approved reflects the reductions in funding and staffing proposed by the Administration in the OMB passback process. In voting to approve the budget document, I have been concerned by the magnitude of these proposed reductions, but have agreed to them understanding that they are part of a government-wide deficit reduction effort that is affecting other agencies similarly. I also have agreed to these reductions based on the assessment of the Commission's Managing Director that neither RIFs nor furloughs should be necessary to meet the proposed funding and staffing levels.

Although the scope of the Commission's regulatory role has narrowed in the wake of deregulation, we still require an adequate number of specialized employees in order to carry out competently our remaining duties. In this light, my concern with the reductions incorporated into the budget are twofold. First, the budget document reflects a bare bones approach to funding our remaining activities that leaves little margin for error. Second, I am concerned that these reductions not result in RIFs or furloughs, because such actions have a long-lasting effect on employee morale that often has a disproportionately adverse effect on the efficiency and productivity of the remaining staff.

In the event that such actions should become necessary, as the unexpected result of the budget document or future deficit reduction efforts, I would propose that the Commissioners act to ease the impact on the rest of the agency. My preference would be to require the Chairman and each sitting Commissioner to accept a one staff-year reduction in the number of positions allotted to his or her office. Should this not prove feasible, or if a transition period for implementing this reduction is deemed preferable, I would propose that as Commissioners leave the Commission, at the end of their terms or otherwise, the number of staff positions allotted to their offices be reduced by one, so that eventually the same staff reduction is implemented in all Commissioners' offices. In this way, the burden of deficit reduction could be shared equitably by Commissioners' offices and the rest of the agency, and the essential tasks performed outside the Commissioners' offices could continue more easily.

COMMISSIONER SIMMONS, joined by Commissioner Lamboley, (commenting):

The budget recommendation being submitted to Congress today does not reflect the budget request adopted by the Commission at its July 13, 1989, public voting conference. Instead, as in recent years, a majority of the Commission has determined to submit a request for the lower staffing levels dictated without explanation by the Office of Management and Budget. I have objected to this practice in past years, and I regret that it is necessary to reiterate my concerns.

Based on the representations of its Bureau and Office heads, the Commission determined last July that a staffing level of 701 would be necessary for the ICC to meet its statutory responsibilities in FY 1991. OMB subsequently imposed a reduction of 56 staff-years, resulting in the 645 figure now submitted to Congress. OMB's action is clearly based on fiscal rather than programmatic criteria. The proposed staffing for each bureau and office, except Hearings, was arbitrarily reduced by 5 to 10 percent, for an overall reduction of 8 percent. A majority of the Commission voted not to appeal the OMB passback after being told that the ICC probably could reach the lower staffing levels without further reductions-in-force or furloughs. There was no reevaluation, however, of whether the Commission could perform its mission at the 645 level. In effect, OMB-dictated staffing levels, which were clearly considered inadequate less than six months ago by the Commission itself and by our bureau and office heads, are now being put forth as adequate without any independent analysis or justification.

The continuing reduction in Commission resources over recent years appears designed to result in fiscal sunset of the agency. Since Congress has not adopted legislative proposals to sunset the ICC, this goal has been pursued in some quarters through the budgetary process. The chronic failure to fill even authorized positions in past years has established a basis for consistent OMB reductions in ICC requested resources.[1] The effects of this strategy of budgetary sunset are now becoming evident. Millions in unexpended appropriations have been returned to the Treasury.[2] Staff levels continually decline. Non-personnel resource needs are not fully budgeted, but such expenditures are funded from personnel allocations with subsequent reprogramming.[3]

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[1] For example, in FY 1990 OMB reduced the agency's request explaining: "OMB eliminated only positions that would have remained vacant."

[2] FY 1986 - $2.69m.; FY 1987 - $4.02m.; FY 1988 - $.445m.

The Commission has acknowledged that its current resources curtail its activities. The Commission's increased resort to extensions of statutory deadlines for issuance of decisions can be attributed in large part to inadequate staffing in the Office of Proceedings and the Bureaus of Accounts. In a notice served December 19, 1989, in Ex Parte No. MC-177 (Sub- No. 1), the Commission conceded that "because of personnel and budgetary restraints" it is not able to participate in significant civil court actions involving motor carrier tariff practices and substantial undercharge issues. Our Office of Compliance and Consumer Assistance has a rapidly decreasing presence throughout the fifty states, seriously limiting the Commission's access to information and our ability to respond to transportation emergencies.

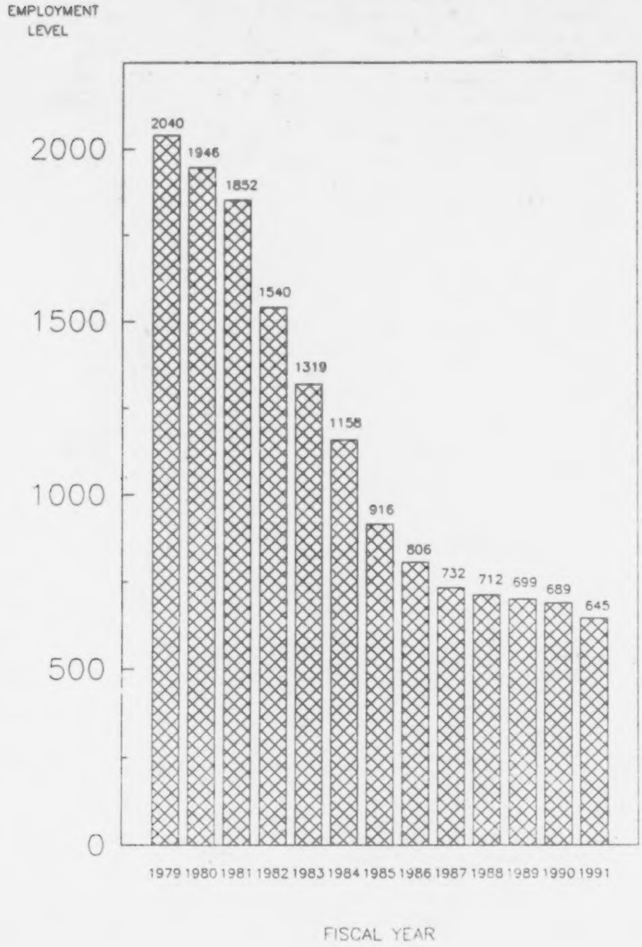
In past years, the Commission has significantly and responsibly reduced its personnel and budgetary resources. However, in recent years reductions have continued with the consequence of an "attrition based" increase in productivity. Personnel retention and recruitment remain problematical. In my opinion, the ICC has long passed the point where further reductions in staff will only result in a growing inability to meet the full range of our statutory obligations. For this reason, I believe submission to Congress of our original budget request, rather than the OMB - imposed alternative, would have been the responsible course of action.

---

[3] In FY 1988 and 1989, non-budgeted computer equipment, software and related expenses were essentially funded from underutilized personnel resources, later reprogrammed. Likewise, resources reasonably expected to be required for the implementation of electronic tariff filing under Ex Parte No. 444 are not in the FY 1991 budget request.

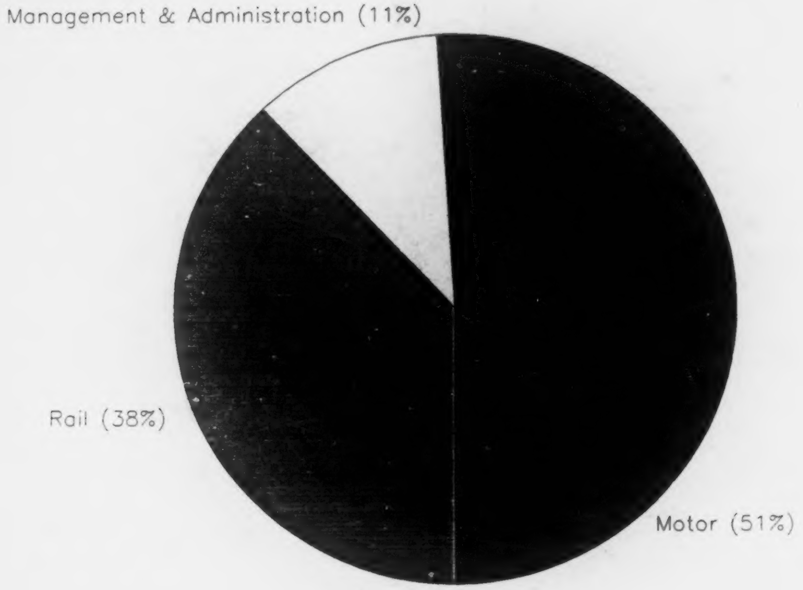
INTERSTATE COMMERCE COMMISSION

AVERAGE EMPLOYMENT: 1979 - 1991



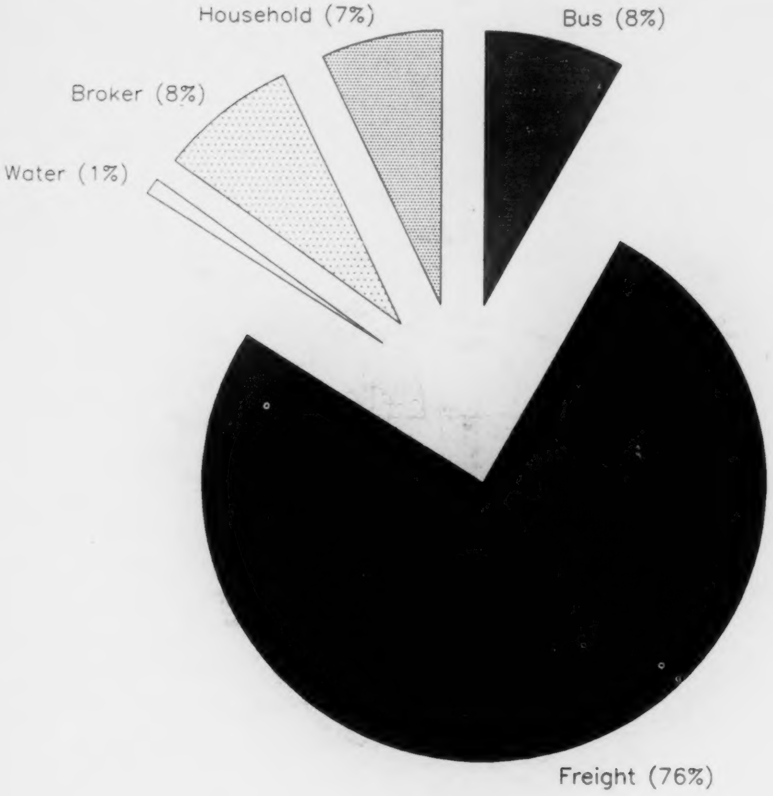
INTERSTATE COMMERCE COMMISSION

PERCENT OF STAFF-YEARS BY PROGRAM



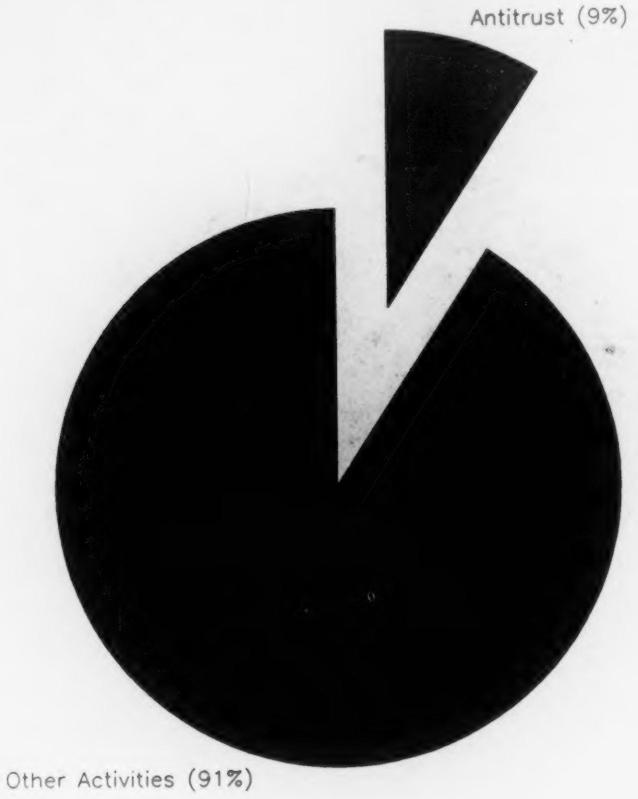
MOTOR PROGRAM

PERCENT OF STAFF-YEARS BY CARRIER TYPE



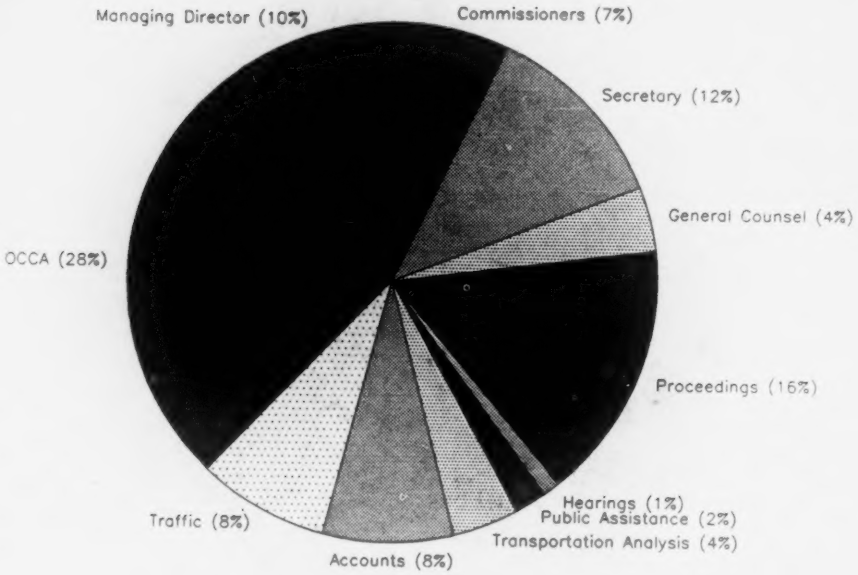
RAIL PROGRAM

PERCENT OF STAFF-YEARS BY TYPE



INTERSTATE COMMERCE COMMISSION

PERCENT OF STAFF-YEARS BY OFFICE



INTERSTATE COMMERCE COMMISSION

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR PROGRAM	$20,984	$21,074	$20,833
RAIL PROGRAM	17,233	18,134	18,092
GENERAL MANAGEMENT AND ADMINISTRATION	4,756	4,997	4,852
TOTAL ESTIMATE	$42,973	$44,205	$43,777
OUTLAYS	$43,953	$43,693	$43,359
FULL-TIME EQUIVALENT EMPLOYMENT	699	689	645

INTERSTATE COMMERCE COMMISSION
STAFF-YEAR SUMMARY
BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR			
Freight	282	270	250
Bus	30	30	28
Household Goods	25	26	24
Broker	27	27	27
Water Carrier	1	1	1
TOTAL MOTOR PROGRAM	365	354	330
RAIL			
Antitrust	19	23	22
Other	236	233	219
TOTAL RAIL PROGRAM	255	256	241
GENERAL MANAGEMENT AND ADMINISTRATION	79	79	74
COMMISSION TOTALS	699	689	645

INTERSTATE COMMERCE COMMISSION

STAFF-YEARS AND BUDGET ESTIMATES BY BUREAU AND OFFICE

($ in thousands)

	FY 1989		FY 1990		FY 1991	
	Total Staff-Years	Actual Obligations	Total Staff-Years	Budget Estimates	Total Staff-Years	Budget Estimates
Commissioners and their Offices	42	$3,197	46	$3,676	44	$3,741
Secretary	81	3,270	81	3,385	76	3,435
General Counsel	25	1,823	24	1,857	23	1,853
Proceedings	113	7,360	111	7,592	102	7,289
Hearings	5	383	5	409	5	428
Public Assistance	14	1,045	14	1,102	13	1,069
Transportation Analysis	27	2,209	27	2,303	24	2,274
Accounts	60	4,335	58	4,431	55	4,376
Traffic	58	2,881	58	3,017	54	2,976
Compliance and Consumer Assistance	200	12,091	193	11,992	181	11,990
Managing Director	74	4,379	72	4,441	68	4,346
Commission Totals	699	$42,973	689	$44,205	645	$43,777

INTERSTATE COMMERCE COMMISSION

MOTOR PROGRAM

STAFF-YEARS AND BUDGET ESTIMATES BY BUREAU AND OFFICE

($ in thousands)

	FY 1989		FY 1990		FY 1991	
	Total Staff-Years	Actual Obligations	Total Staff-Years	Budget Estimates	Total Staff-Years	Budget Estimates
Commissioners and their Offices	6	$457	8	$639	7	$595
Secretary	56	2,261	56	2,340	52	2,350
General Counsel	3	219	2	155	2	161
Proceedings	55	3,582	52	3,557	46	3,287
Hearings	0	0	0	0	0	0
Public Assistance	5	373	5	394	4	329
Transportation Analysis	1	82	1	85	1	95
Accounts	4	289	4	306	4	318
Traffic	45	2,235	44	2,289	43	2,370
Compliance and Consumer Assistance	190	11,486	182	11,309	171	11,328
Managing Director	0	0	0	0	0	0
Commission Totals	365	$20,984	354	$21,074	330	$20,833

INTERSTATE COMMERCE COMMISSION

RAIL PROGRAM

STAFF-YEARS AND BUDGET ESTIMATES BY BUREAU AND OFFICE

($ in thousands)

	FY 1989		FY 1990		FY 1991	
	Total Staff-Years	Actual Obligations	Total Staff-Years	Budget Estimates	Total Staff-Years	Budget Estimates
Commissioners and their Offices	32	$2,436	32	$2,558	32	$2,721
Secretary	25	1,009	25	1,045	24	1,085
General Counsel	21	1,531	21	1,625	20	1,611
Proceedings	58	3,778	59	4,035	56	4,002
Hearings	5	383	5	409	5	428
Public Assistance	9	672	9	708	9	740
Transportation Analysis	26	2,127	26	2,218	23	2,179
Accounts	56	4,046	54	4,125	51	4,058
Traffic	13	646	14	728	11	606
Compliance and Consumer Assistance	10	605	11	683	10	662
Managing Director	0	0	0	0	0	0
Commission Totals	255	$17,233	256	$18,134	241	$18,092

INTERSTATE COMMERCE COMMISSION

GENERAL MANAGEMENT AND ADMINISTRATION PROGRAM

STAFF-YEARS AND BUDGET ESTIMATES BY BUREAU AND OFFICE

($ in thousands)

	FY 1989		FY 1990		FY 1991	
	Total Staff-Years	Actual Obligations	Total Staff-Years	Budget Estimates	Total Staff-Years	Budget Estimates
Commissioners and their Offices	4	$304	6	$479	5	$425
General Counsel	1	73	1	77	1	81
Managing Director	74	4,379	72	4,441	68	4,346
Commission Totals	79	$4,756	79	$4,997	74	$4,852

INTERSTATE COMMERCE COMMISSION
FY 1990 SALARIES AND EXPENSES
REPROGRAMMING

($ in thousands)

	Conference Report Distribution		Reprogramming*		Revised Distribution	
	Staff-years	Funds	Staff-years	Funds	Staff-years	Funds
Commissioners and their Offices	46	$3,613		$63	46	$3,676
Secretary	82	3,470	-1	-85	81	3,385
General Counsel	25	1,926	-1	-69	24	1,857
Proceedings	111	7,487		105	111	7,592
Hearings	5	406		3	5	409
Public Assistance	14	1,097		5	14	1,102
Transportation Analysis	27	2,338		-35	27	2,303
Accounts	61	4,575	-3	-144	58	4,431
Traffic	59	2,961	-1	56	58	3,017
Compliance and Consumer Assistance	197	12,235	-4	-243	193	11,992
Managing Director	74	4,342	-2	99	72	4,441
TOTAL	701	$44,450	-12	-$245	689	$44,205

*Reprogramming of funds is due to the effects of the FY 1990 Gramm-Rudman-Hollings sequester and the 3.6 percent general schedule and executive level pay raise effective in January 1990. Congressional approval for the reprogramming of funds is not required since reprogramming actions are within the four-percent flexibility permitted by the Conference Report (101-315) to accompany H.R. 3015, referenced by P.L. 101-164. Congressional approval for the reprogramming reduction of 12 staff-years associated with the congressionally mandated program absorption of FY 1990 pay raises and Gramm-Rudman-Hollings sequester is requested for the following offices: Secretary, General Counsel, Accounts, Traffic, Compliance and Consumer Assistance, and Managing Director.

COMMISSIONERS AND THEIR OFFICES

The FY 1991 request for the Chairman, the Commissioners, and the satellite offices is $3,741,000 and 44 staff-years.

The Commission decides individual cases and determines policy through its rulemaking and adjudicative proceedings to ensure the effective administration of the Interstate Commerce Act, related statutes, and regulations. The Chairman serves as administrative head of the agency, formulating plans, proposing policies, and providing for the overall direction and management of the agency.

Each Commissioner is assisted in carrying out his or her responsibilities by a small staff who review and research the law and pleadings related to draft decisions on cases, policy statements, rulemakings, proposed legislation, and administrative matters. They brief the Commissioners, prepare votes, draft separate expressions, and recommend action in cases or other matters.

Three satellite offices report directly to the Chairman: the Office of Government and Public Affairs, the Office of Human Relations, and the Office of Inspector General. The Office of Government and Public Affairs handles congressional correspondence and requests for information, monitors legislation relating to subject matter within the Commission's jurisdiction, prepares comments or testimony for hearings, and responds to inquiries from the press and general public. The activities of the Office of Human Relations include adjudicating equal employment opportunity (EEO) complaints, conducting training seminars on human relations, monitoring the enforcement of civil rights laws, and intervening on behalf of employees regarding EEO concerns. The Office of Inspector General handles those functions associated with auditing the agency's financial and internal control activities to detect instances of waste, fraud, or abuse and to promote efficiency and economy in agency operations.

MAJOR ACCOMPLISHMENTS IN FY 1989

- Rendered 1,200 decisions emanating from the consideration of administrative matters and adjudication of licensing, rate, and finance cases filed by motor freight, bus, water, and rail carriers.
- Continued emphasis on completion of rate reasonableness proceedings.

- Developed regulatory policies for surface transportation providers under the Commission's jurisdiction through adjudication and rulemaking in such major cases as:
  - Ex Parte MC-177, National Industrial Transportation League--Petition to Institute Rulemaking on Negotiated Motor Common Carrier Rates.
  - Ex Parte 274 (Sub-No. 8), Exemption of Out-of-Service Rail Lines.
  - Ex Parte 290 (Sub-No. 2), Rail Cost Recovery Procedures.
  - Ex Parte 478, Railroad Cost of Capital - 1988.
  - Finance Docket 30759, Denver and Rio Grande Western Railroad Company and Missouri-Kansas-Texas Railroad Company v. St. Louis Southwestern Railway Company.
  - Finance Docket 29720 (Sub-No. 1), Guilford Transportation Industries, Inc.--Control--Boston and Maine Corporation.
  - Docket 37809, McCarty Farms, et al. v. Burlington Northern Inc. et al.
  - Ex Parte 393 (Sub-No. 2), Supplemental Reporting of Consolidated Information for Revenue Adequacy Purposes.
  - Ex Parte 274 (Sub-No. 18), Consideration of Possible Sale or Subsidy of Rail Line - Analysis of an Abandonment Application Under 49 U.S.C. 10903.
  - Finance Docket 30800 (Sub-No. 27) Union Pacific Corporation, Union Pacific Railroad Company and Missouri Pacific Railroad Company--Control--Missouri-Kansas-Texas Railroad Company - Arbitration Review.
  - Ex Parte 55 (Sub-No. 69), Rules Governing Applications for Operating Authority - Revision of Form OP-1.
  - Ex Parte 55 (Sub-No. 74A), Applications for Certification for Certain Foreign Carriers.

- Finance Docket 31088, Southern Railway Company and Norfolk Southern Corporation--Purchase--Illinois Central Railroad Company Line Between Fulton, KY and Haleyville, AL - and Trackage Rights - Illinois Central Railroad Company Line Between Fulton, KY and Centralia, IL.
- Finance Docket 31121, P&LE Railco, Inc. - Exemption Acquisition and Operation - Lines of the Pittsburgh and Lake Erie Railroad Company and The Youngstown and Southern Railway Company.
- Docket MC-F-18505, GLI Acquisition Co. (Greyhound)--Purchase--Trailways Lines, Inc.
- Ex Parte 444, Electronic Filing of Tariffs.
- Finance Docket 31089, Montana Rail Link, Inc. - Exemption Acquisition and Operation - Certain Lines of Burlington Northern Railroad Company.
- Ex Parte 246 (Sub-No. 6), Regulations Governing Fees for Services Performed in Connection with Licensing and Related Services--1988 Update.
- Ex Parte 246 (Sub-No. 7), Regulations Governing Fees for Services Performed in Connection with Licensing and Related Services--1989 Update.
- Ex Parte 55 (Sub-No. 71), Notice of Policy and Final Rule Governing Submission and Evaluation of Safety Fitness Evidence in Motor Carrier Licensing Proceedings.
- Ex Parte MC-190, Elimination of Accounting and Reporting Requirements for Private Carriers.
- Docket MC-C-30002, Victoria Terminal Enterprises, Inc. - Transportation of Fertilizer within Texas - Petition for Declaratory Order.
- Finance Docket 30965, Delaware and Hudson Railway Company - Lease and Trackage Rights Exemption - Springfield Terminal Railway Company et al.
- Finance Docket 30965 (Sub-No.1), Delaware and Hudson Railway Company - Lease and Trackage Rights Exemption - Springfield Terminal Railway Company - Review of Arbitral Award.

- Finance Docket 27590 (Sub-No. 1), Trailer Train Company, et al. - Pooling of Car Service with Respect to Flatcars.

- Service Order No. 1506, The New York; Susquehanna and Western Railway Corporation Authorized to Operate Tracks of Delaware and Hudson Railway Company, Debtor.

- Finance Docket 31205, FRVR Corporation - Acquisition and Operation Exemption - Chicago and North Western Transportation Company.

- Finance Docket 30000 (Sub-No. 16), et al., St. Louis Southwestern Railway Company - Trackage Rights over Missouri Pacific Railroad Company - Kansas City to St. Louis.

- Ex Parte 402, Reasonably Expected Costs (Implementation of the Railroad Accounting Principles Board Findings).

- Ex Parte 290 (Sub-No. 4), Railroad Cost Recovery Procedures - Productivity Adjustment.

- Ex Parte 477, Modifications to General Purpose Costing System - GPCS.

- Finance Docket 28490 (Sub-No. 1), Atlantic Richfield Company and Anaconda Company--Control--Butte Anaconda and Pacific Railroad Company and Tooele Valley Railroad Company.

- Ex Parte MC-1, Regulations for Payment of Rates and Charges - Penalty Charges for Nonpayment.

- Finance Docket 31187, Southeastern Rail Corporation - Acquisition and Operation Exemption - Gulf and Mississippi Railroad Corporation.

- Docket AB-19 (Sub-No. 112), The Baltimore and Ohio Railroad Company et al., - Abandonment and Discontinuance of Service - in Montgomery County, MD, and the District of Columbia.

- Ex Parte 388 (Sub-No. 7), Intrastate Rail Rate Authority - Illinois.

- Ex Parte 474, Exemption from 49 U.S.C. 11322(a) for Certain Interlocking Directorates.

- Finance Docket 31247, CSX Corporation and American Commercial Lines, Inc.--Control--SCNO Acquisition Corp.
- Docket MC-C-30090, National Industrial Transportation League - Petition for a Declaratory Order on Negotiated Motor Common Carrier Rates.
- Finance Docket 31250, National Railroad Passenger Corporation - Conveyance of Boston and Maine Corporation Interests in Connecticut River Line in Vermont and New Hampshire.
- Ex Parte 274 (Sub-No. 11A), Abandonment Regulations - Costing (Implementation of the Railroad Accounting Principles Board Findings).
- Ex Parte 274 (Sub-No. 11B), Abandonment Regulations - Costing (Revised Treatment of Return on Investment - Equipment).
- Docket No. 38904, Elimination of Accounting and Reporting Requirements for Motor Carriers of Property.
- Ex Parte 388A, State Intrastate Rail Rate Authority - Pub.L. No. 96-448 - Recertification Process.
- Docket No. AB-167 (Sub-No. 1088X), Consolidated Rail Corporation - Exemption - Abandonment of the Weirton Secondary Track in Harrison and Tuscarawas Counties, OH.
- Finance Docket No. 30640, Rarus Railway Corporation - Exemption from 49 U.S.C. 10901 and 11301.
- Docket No. 40131, Ashley Creek Phosphate Company v. Chevron Pipe Line Company.
- Docket No. 38301S (Sub-No. 1), Westmoreland Coal Sales Company v. The Denver and Rio Grande Western Railroad Company, et al.
- Finance Docket No. 31360, South Carolina Central Railroad Company, Inc. - Purchase and Lease - CSX Transportation, Inc. Lines in Georgia and Alabama.
- Ex Parte 290 (Sub-No. 7), Productivity Adjustment - Implementation.

- Docket No. AB-12 (Sub-No. 120), Southern Pacific Transportation Company - Abandonment Between Wharton and Victoria, TX.
- Docket No. 37931S, Metropolitan Edison Company v. Conrail, et al.
- Docket No. MC-C-30093, B. J. Alan Co., Inc., et al. v. United Parcel Service.
- Docket No. MC-1515, Greyhound Lines, Inc. and GLI Acquisition Company - Application to Be a Self-Insurer.
- Finance Docket No. 31166, Overbrook Farmers Union Cooperative Association - Petition for Declaratory Order - Violation of 49 U.S.C. 11101(a).
- Ex Parte 431 (Sub-No. 1), Adoption of the Uniform Railroad Costing System as a General Purpose Costing System for All Regulatory Costing Purposes.
- Finance Docket No. 31395, Kansas City Southern - Petition for Exemption and Finance Docket No. 31396, Kansas City Southern - Petition for Declaratory Order.
- Docket No. 39038, The Aluminum Association, Inc., et al. v. Alton & Southern Railway Company, et al.
- Docket No. 38301S, Coal Trading Corporation., et al. v. Baltimore and Ohio Railroad Company, et al.
- Docket No. 37038, Bituminous Coal, Hiawatha, Utah to Moapa, Nevada.
- Docket No. 37409, Aggregate Volume Rate on Coal, Acco, Utah to Moapa, Nevada.
- Docket No. 38239S, Amstar Corporation v. Alabama Great Southern Railroad, et al.
- No. 39756, Pielet Brothers Trading Company v. Chicago and North Western Transportation Company, et al.
- Docket No. 40073, South-west Railroad Car Parts Company v. Missouri Pacific Railroad Company.
- Docket No. 40118, Vista Chemical Company v. The Atchison, Topeka and Santa Fe Railway Company.

- Finance Docket No. 30000 (Sub-No. 47), Union Pacific Corporation, Pacific Rail System, Inc., and Union Pacific Railroad Company--Control--Missouri Pacific Corporation and Missouri Pacific Railroad Company (Arbitration Review).

- Finance Docket No. 31012, Cheney Railroad Company - Feeder Line Acquisition - CSX Transportation, Inc. Line Between Greens and Ivalee, AL.

- Finance Docket No. 31329, Tennessee and Southern Railroad Company, Inc. - Purchase and Lease - CSX Transportation, Inc.

- Finance Docket No. 31348, Chicago South Shore and South Bend Railroad - Discontinuance of Passenger Trains Under 49 U.S.C. 10908.

- Finance Docket No. 31468, Notice of Exemption - Issuance of Securities and Assumption of Liabilities - Illinois Central Railroad Company.

- Finance Docket No. 31493, Blackstone Capital Partners L.P.--Control Exemption--CNW Corporation and Chicago and North Western Transportation Company.

- Ex Parte 274 (Sub-No. 13), Rail Abandonment - Use of Rights-of-Way as Trails.

- Ex Parte 319, Investigation of Freight Rates for the Transportation of Recyclable or Recycled Commodities.

- Docket No. AB-298 (Sub-No. 1X), Iowa Southern Railroad Company - Exemption - Abandonment in Pottawattamie Mills, Freemont, and Page Counties, IA.

- Issued decisions in 8 applications by motor carriers of property seeking to self-insure.

- Conducted expedited hearing at the request of Members of Congress to review aspects of a proposed non-carrier acquisition of a Class I railroad and submitted a report to Congress.

- Participated in congressional hearings on shortline sales, leveraged buy-outs of rail carriers, domestic offshore transportation, sanitary food transportation, and appropriations.

- Testified at hearings on the Commission's FY 1990 appropriation and responded to inquiries from Members of Congress concerning the Commission's budget.

- Continued to expand the use of computers agencywide to enhance output capabilities and provided computer training for users.
- Compiled and submitted the 1988 Annual Report to Congress.
- Provided materials and briefing sessions for congressional staff members regarding the Commission's activities pertinent to pending legislation.
- Responded to written and telephone requests for information from the Congress and the public on all phases of Commission activities and worked with local and national news media on the meaning and impact of Commission actions.
- Acted on Railroad Accounting Principles Board recommendations.
- Provided EEO-related training to approximately 409 headquarters employees and handled 7 EEO complaints.
- Prepared and submitted to the Equal Employment Opportunity Commission and the Office of Personnel Management required EEO-related and affirmative action accomplishment reports, updates, and plans.
- Established the Office of Inspector General, in response to the Inspector General Act Amendments of 1988; developed the Commission's FY 1989 Audit Plan; and conducted 4 investigations and audits.

OBJECTIVES FOR FY 1990 AND FY 1991

- Develop and implement surface transportation policy through adjudications and rulemakings.
- Decide the licensing, rate, and finance cases brought before the Commission within the statutory deadlines.
- Complete consideration of and action on recommendations made by the Railroad Accounting Principles Board, if any remain to be completed.
- Continue implementation and application of current law.
- Participate in congressional hearings and respond to requests for comment on legislative proposals.
- Continue completing the records and deciding, on the merits, pending rate reasonableness cases.

- Continue to improve the agency's operational efficiency and productivity.
- Continue to be responsive to congressional and public inquiries on Commission activities.
- Continue to resolve equal employment opportunity and human relations concerns and provide supervisory training designed to promote equitable treatment of employees.
- Continue expanded use of computers or other means of automation to supplant current manual or paper-based operations.
- Conduct audits listed in the Commission's Audit Plan and initiate investigations in response to employee and external complaints.

BENEFITS TO THE PUBLIC

The Commission maintains jurisdiction over more than 43,500 for-hire companies providing interstate surface transportation. The Commission is charged with ensuring that competitive, efficient, and safe transportation services are provided to meet the needs of shippers, receivers, passengers, and consumers. The Commissioners shape the overall policies which lead to this end and supervise all of the Commission's activities.

WORKLOAD

Unlike many other Federal regulatory agencies, which deliberate a relatively small number of cases annually, the Interstate Commerce Commission's workload is composed of thousands of matters that vary substantially in complexity, scope, and importance. These range from procedural matters to complex merger, acquisition, abandonment, construction, and rate cases. During FY 1989, more than 1,200 decisions were made by the Commission, which included adjudications, rulemakings, investigations, and administrative matters. In addition, individual Commissioners took action relating to procedural or scheduling questions on matters under Commission consideration. Certain other matters, particularly initial decisions on routine motor carrier cases, are handled for the Commission either by Administrative Law Judges or employee decisionmaking boards.

In the next two years, the Commission will consider a number of significant rulemaking proposals as it continues to review the effects of regulatory reform and previous Commission decisions on rail, motor, and water carriers. Motor carrier licensing workload is likely to stabilize at the FY 1989 level, and the number of motor finance and rate matters coming before the Commission for decision is also expected to be relatively stable. Although the number of rail matters filed for Commission consideration is not expected to increase by FY 1991, the rail finance matters and the rail rate matters that remain pending or are being filed are more complex and require more time in the review and decisionmaking phase than do motor cases. Thus, as has been the case in recent years, the majority of the staff- year resources for the Commissioners and their offices will be expended on rail matters.

Staff resources will also be expended on legislative matters. In FY 1990 and FY 1991, the Office of Government and Public Affairs will assist the Commission in providing information for presentation at congressional hearings, developing comments on proposed legislation for submission to Congress, and responding to inquiries from Members of Congress and the public.

Staff of the Office of Human Relations will perform work which is of a general management or administrative nature, investigating complaints and providing human relations programs for the agency's workforce. The Office of Inspector General will conduct independent reviews, audits, and investigations of the Commission's financial management and internal control systems and report findings and recommendations to the Chairman.

RESOURCES

The 44 staff-years requested for FY 1991 include 7 staff-years to be employed by the Chairman and 6 staff-years for each Commissioner. The three satellite offices include 13 staff-years; this number includes 8 staff-years in the Office of Government and Public Affairs, 4 staff-years in the Office of Human Relations, and 1 staff-year in the Office of Inspector General.

During FY 1989, the Commission used less than the allocated staff-year ceiling. This occurred largely because of delays in filling vacancies and the use of employees on short-term details in some Commissioners' offices.

	Staff-Years		
	FY 1989	FY 1990	FY 1991
Chairman	7	7	7
Commissioners	21	24	24
Office of Government and Public Affairs	9	9	8
Office of Human Relations	4	5	4
Office of Inspector General	1	1	1
Total	42	46	44

Personnel Compensation and Benefits - Included in the $3,041,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - For FY 1991, a total of $29,000 is requested. This includes an allotment of $4,125 for each of four Commissioners and a total of $12,500 for the Chairman and satellite offices. These travel resources will provide for Commission representation at meetings and conferences with shippers, carriers, and other interested groups. Travel funds are required for conducting EEO complaint investigations, providing human relations training, conducting internal audit activities in the regions, and attending field hearings held by congressional committees at which the Commission testifies.

Other Expenses - This category includes the Offices' allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

COMMISSIONERS AND THEIR OFFICES

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
Personnel Compensation and Benefits	$2,602	$2,982	$3,041
Travel	27	29	29
Contracts	0	0	0
Other Expenses	568	665	671
TOTAL ESTIMATES	$3,197	$3,676	$3,741

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR			
Freight	4	4	4
Bus	1	2	2
Household Goods	1	2	1
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	6	8	7
RAIL			
Antitrust	4	4	4
Other	28	28	28
TOTAL RAIL PROGRAM	32	32	32
GENERAL MANAGEMENT AND ADMINISTRATION	4	6	5
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	42	46	44

OFFICE OF THE SECRETARY

The FY 1991 request for the Office of the Secretary is $3,435,000 and 76 staff-years.

The Office of the Secretary serves as the Commission's clerk of the court. As such, it is responsible for recordkeeping and the issuance of all Commission decisions. The Office administers the examination program for non-attorney practitioners.

The Office is divided into three components: the Library and Reference Services Unit, the Commission Service Section, and the Public Records Section.

The Library and Reference Services Unit maintains the agency's reference documents and digests, annotates, and indexes Commission decisions. This unit also performs legal research and assists the public.

The Commission Service Section is responsible for processing votes of the Commission, providing proper documentation of Commission actions in formal and informal proceedings, and serving all decisions, notices, and certificates issued by the Commission, its Administrative Law Judges, and Employee Boards. The staff is responsible for maintaining documentation on Commission conferences, meetings, and oral arguments and for publishing notices in the Federal Register and the ICC Register. This Section also provides mail management; printing, reproduction and photocomposition services; and updates and maintains databases of centralized computer systems which track cases and individual filings.

The Public Records Section acts as custodian of the Commission seal and the public records filed with the Commission. This staff maintains all public recordation files, copies and certifies records, prepares certified indexes of proceedings appealed to the courts, maintains all public docket and operating authority files, processes applications and other filings for which fees are assessed, and operates the microfilming unit. This Section also maintains the records required for the Commission's insurance recordkeeping program.

MAJOR ACCOMPLISHMENTS IN FY 1989

- Issued 73,000 decisions of the Commission, its Administrative Law Judges, and Employee Boards.
- Handled 132,000 insurance filings.
- Microfilmed 1,000,000 pages of case docket filings.

- Continued to analyze all automated files to ascertain feasibility of further computer generation of documents; exploration is continuing regarding the feasibility of computer generation of the Commission's seal which appears on all documents released for public service.
- Processed over 13,150 applications and other matters from the transportation industry.
- Prepared 8,300 register pages of public notices.
- Completed the annual update of the Commission's user fee schedule and collected $4,762,562 in filing and user fees.

OBJECTIVES FOR FY 1990 AND FY 1991

- Continue to provide the public with up-to-date information regarding the Commission's docket.
- Provide timely processing of Commission applications, fees, decisions, notices, pleadings, and insurance filings.
- Reduce the time for production of the ICC Register.
- Continue to explore the possibility of further automating routine decisions such as name changes where no change in ownership or control occurs.

BENEFITS TO THE PUBLIC

The Office of the Secretary formally notifies the public of all Commission decisions and keeps the public informed of applications and their disposition. Additionally, the Office provides access to public records and answers inquiries regarding current and historical matters handled by the Commission.

WORKLOAD

The Office of the Secretary performs a variety of activities which are generated by filings from the public and provides services to the Commission's Bureaus and Offices. These activities are divided into six major categories: case control, maintenance of public records, applications and fees, printing and publishing services, library and reference services, and mail processing. The Office will commit 76 staff-years to these functions in FY 1991. Case control activities will consume 24 percent of these resources; applications and fees about 18 percent; insurance and docket activities 16 percent and 14 percent, respectively; and other activities, the balance.

The workload of the Office of the Secretary is comprised of documents being submitted by the Commission, other Bureaus and Offices, and the general public for processing. While some of this Office's workload figures have increased over the past few years, the Office has been able to manage these workload increases through automation of previously manual functions, improved productivity in staff resource usage through reexamination and refinement of case control and application procedures, and the upgrading of service equipment in the areas of mail management and microfilming. Past implementation of computer generation of documents continues to work well. In addition to not allowing backlogs to accumulate in the respective areas, the computerization of these functions allows far more knowledgeable responses to status inquiries.

There has been an increase in the number of decisions cleared over the past few years. The basis for the majority of the increase is the decisions being issued to motor carriers who have received an unsatisfactory or conditional safety rating by the Department of Transportation. As the motor carriers become more aware of the information required of them in this respect, the workload should decline slightly.

The number of decisions issued decreased slightly, while decisions initiating revocation proceedings because of lapse in insurance coverage continued at a rate comparable with past years. The slight decrease in the number of pages microfilmed has a direct correlation to this change in the number of decisions issued.

Motor carriers continue to seek the best insurance rates possible resulting in an increase in cancellation notices and replacement filings as the motor carriers change insurance companies. There is no reason to project any change in this practice unless the common carrier requirement to file evidence of adequate cargo insurance coverage is changed. This change would have the direct effect of decreasing the workloads in the motor area relating to insurance filings, mail processing, printing, decisions issued, and maintenance of docket files.

Historically, the number of register pages prepared generally corresponded to the number of filings seeking authority or exemption relief. This relationship was severed in FY 1989. While the number of filings for various authorities increased slightly, the number of register pages prepared has decreased from the FY 1988 level. The register notices reflect various items of information about the applicants and describe the authority being sought. As the authority sought becomes more generic (i.e., nationwide, general commodities), the notices become shorter. More filings are being made by single carriers for multiple authorities (common, contract, broker, or any combination).

The largest increase in the FY 1989 workload was in the number of pages printed, which reflects replenishing of the supply of forms. Since the supply of forms has been replenished, it is anticipated that the workload can be maintained with a reduction in staff-years. Also, the issues discussed in the decisions have become lengthier and have generated more public interest, thus requiring more pages to be printed.

The monies collected for fees and services increased in FY 1989 due to the new fee schedule revised during the 1988 Update. It is anticipated that the fees for FY 1990 and FY 1991 will also increase due to the 1989 Update to the fee schedule.

RESOURCES

Personnel Compensation and Benefits - Included in the $2,315,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - The $1,000 is used primarily for local travel for training purposes and to attend meetings with other agencies. The funds requested will also be used for travel related to the Commission's Emergency Preparedness Activities.

Contracts - A total of $28,000 is requested for two contracts for this Office in FY 1991. The reporting contract covers the cost of all Commission oral hearings, conference transcripts, and depositions. Funding for this contract is estimated at $8,000 based on the current frequency of public conferences, hearings, and oral arguments. The messenger service contract, estimated at $20,000, covers the cost of messenger service to deliver decisions, Federal Register documents, legislative materials, and other official documents in the Washington area.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

Motor Workload	FY 1989	FY 1990	FY 1991
Cleared Decisions	720	720	720
Issued Decisions	71,500	66,900	66,900
Certifications	460	500	500
Indexing Court Proceedings	40	30	15
Insurance Filings	132,000	130,000	120,000
Maintenance of Docket Files	740,000	750,000	735,000
Applications and Fees	12,800	13,100	12,850
Register Pages	8,000	7,700	7,300
Printing	12,950,000	11,000,000	10,000,000
Mail	759,700	710,000	708,000
Library/Reference Services	4,500	4,500	4,000
Rail Workload			
Cleared Decisions	430	430	430
Issued Decisions	1,500	1,400	1,400
Certifications	240	250	250
Indexing Court Proceedings	180	150	145
Maintenance of Docket Files	260,000	265,000	265,000
Applications and Fees	350	350	350
Register Pages	300	300	300
Printing	4,790,000	4,000,000	4,000,000
Mail	240,000	230,000	230,000
Library/Reference Services	6,600	6,600	6,500
Fees Collected	$4,762,562	$4,900,000	$5,000,000

OFFICE OF THE SECRETARY

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
Personnel Compensation and Benefits	$2,134	$2,264	$2,315
Travel	1	1	1
Contracts	28	28	28
Other Expenses	1,107	1,092	1,091
TOTAL ESTIMATES	$3,270	$3,385	$3,435

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR			
Freight	40	40	36
Bus	4	4	4
Household Goods	4	4	4
Broker	7	7	7
Water Carrier	1	1	1
TOTAL MOTOR PROGRAM	56	56	52
RAIL			
Antitrust	1	1	1
Other	24	24	23
TOTAL RAIL PROGRAM	25	25	24
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	81	81	76

OFFICE OF THE GENERAL COUNSEL

The FY 1991 request for the Office of the General Counsel is $1,853,000 and 23 staff-years.

The Office provides a full range of legal services to the Commission and staff, including defense of its decisions, response to requests for legal opinions, and preparation of major legislative testimony and analyses. Acting as defense counsel, the Office prepares and files pleadings in court, delivers oral arguments before the courts, negotiates with counsel for other parties, and advises the Commission on further steps it should take in litigated cases. Acting as legal advisor, the Office advises the Commission on defensibility of major decisions, provides drafting service on major decisions, and gives legal advice as requested by the Commission and senior staff. The Associate General Counsel for Research and Legislation prepares congressional testimony and analyses on important oversight and legislative issues.

MAJOR ACCOMPLISHMENTS IN FY 1989

On judicial review, the Office has prevailed in 9 out of 10 cases, on a yearly average. FY 1989 court decisions included the following:

- Sustained the Commission's construction of 49 U.S.C. 11122(b) that the Commission has discretion not to issue an industry-wide rate prescription sought by private freight car owners for railroad use of their cars, and that the statute does not require full cost recovery by such owners, in the Lo Shippers Action Committee case in the District of Columbia Circuit, certiorari denied by the Supreme Court.

- Sustained the Commission's assertion of authority to review arbitration decisions arising from Commission imposed labor protection conditions in railroad abandonment cases in the International Brotherhood of Electrical Workers case in the District of Columbia Circuit.

- In the burgeoning area of State attempts to assert jurisdiction over motor carrier movements within their borders that are part of a multi-State movement, sustained the Commission's jurisdiction to rule on the interstate nature of the movement and the test employed to determine the continuing interstate transportation in the Middlewest Motor Freight Bureau case in the Eighth Circuit and the State of Texas case in the Fifth Circuit.

In its advisory service, the Office averaged 30 formal and informal requests for opinions a month and provided advice and legal drafting in numerous major cases.

The Office has been assigned lead responsibility for the preparation and circulation of opinions and rules in selected proceedings. The decisions in Ex Parte MC-177, Negotiated Rates, institution of Ex Parte 480, Japonica, and MC-C-30002, Victoria Terminal are examples.

The Office prepared legislative and oversight materials concerning rail regulation. Major statements regarding rail oversight and new antitrust legislation were provided.

OBJECTIVES FOR FY 1990 AND FY 1991

- Continue to provide a thorough defense of all judicially reviewed Commission decisions.
- Respond to all requests from the Commission and its staff for decision drafting and opinions on the legal implications of Commission actions and the proper interpretation and application of statutory and decisional law.
- Provide testimony on legislative matters, background analyses, and expert consultation to congressional committees, staff, and Members of Congress.

BENEFITS TO THE PUBLIC

Commission decisions made in the public interest are based upon legal advice provided by this Office, which defends those actions subject to judicial review. The Office seeks to provide Congress with accurate information on the nature of the Commission's rules and decisions and to assist in an informed debate over the direction of transportation policy.

WORKLOAD

The litigation and opinion workload on rail and motor matters is expected to continue at about the same level during FY 1990 and FY 1991. It is anticipated that, in addition to the routine shipper-carrier disputes, major cases will be generated in a large number of complex rail abandonments and shortline sales as well as issues involving the carriage of bulk items, shipper access, car hire, and rate reasonableness. Continued activity by some States to regulate motor carrier service in ways clashing with the 1980 Motor Carrier Act will likely continue to produce litigation. In these complex matters, the Commission will require opinions in reaching its decisions; and those decisions are likely to be contested in the appellate courts because of the significant economic impact upon the parties and the public.

The number of litigations on motor rate cases is expected to decrease in FY 1990 as the issues involving negotiated rate claims in undercharge cases are resolved in the various circuit courts. A decrease is also expected after FY 1989 in motor opinions and litigation with the end of Greyhound-Trailways generated finance cases in the bus industry and the resolution of the negotiated rates issues in undercharge cases.

Rail finance opinions and litigation are expected to remain high for FY 1990 and FY 1991 due to abandonment/shortline sales and labor issues resulting from Supreme Court and Courts of Appeals decisions in the P&LE and related cases.

Requests for legal advice and litigation on administrative matters arising in the course of the Commission's business are expected to remain at the present level through FY 1991.

One or more major bills relating to motor carrier regulation are expected during the remainder of the 101st Congress; otherwise, the legislative workload on rail and motor oversight and pending legislation is expected to remain at current levels through FY 1991.

Efficiencies now being realized from the computerization of the Office are expected to allow the staff-year reduction proposed.

RESOURCES

Personnel Compensation and Benefits - Included in the $1,498,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - Staff of the General Counsel's Office is required to appear in courts throughout the country to defend Commission decisions. Projected travel expenses of $15,000 are expected for FY 1991.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1989	FY 1990	FY 1991
Motor Workload			
Opinions			
Rulemakings	6	6	6
Rate Cases	29	21	21
Licensing Cases	40	40	40
Finance Cases	5	5	5
Litigation			
Rulemakings	5	5	5
Rate Cases	58	30	30
Licensing Cases	47	47	47
Finance Cases	10	4	4
Legislative Assistance	17	17	17
Rail Workload			
Opinions			
Rulemakings	31	31	31
Rate Cases	50	50	50
Licensing Cases	2	2	2
Finance Cases	139	139	139
Litigation			
Rulemakings	27	27	27
Rate Cases	46	46	46
Licensing Cases	5	5	5
Finance Cases	140	140	140
Legislative Assistance	41	41	41
General Management and Administration Workload	42	42	42

OFFICE OF THE GENERAL COUNSEL

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
Personnel Compensation and Benefits	$1,474	$1,504	$1,498
Travel	13	8	15
Contracts	0	0	0
Other Expenses	336	345	340
TOTAL ESTIMATES	$1,823	$1,857	$1,853

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR			
Freight	3	2	2
Bus	0	0	0
Household Goods	0	0	0
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	3	2	2
RAIL			
Antitrust	2	2	2
Other	19	19	18
TOTAL RAIL PROGRAM	21	21	20
GENERAL MANAGEMENT AND ADMINISTRATION	1	1	1
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	25	24	23

OFFICE OF PROCEEDINGS

The FY 1991 request for the Office of Proceedings is $7,289,000 and 102 staff-years. The Office provides the Commission with the staff resources for the formulation and the articulation of new policies through the rulemaking process and adjudication of thousands of individual proceedings.

The work of the Office continues to be affected by motor and rail regulatory reform legislation enacted in 1980, bus regulatory reform legislation enacted in 1982, and other acts which addressed the Commission's role in regulating surface transportation. These laws encourage carriers to take advantage of liberalized provisions, including new ways of obtaining approval of regulated activities.

The work of the Office of Proceedings is accomplished at headquarters by employees divided by mode into Sections of Motor and Rail. The Director's Office actively supervises all work in both sections and provides policy guidance and administrative support.

Employment in the Office of Proceedings has decreased from 360 positions prior to the enactment of regulatory reform legislation to 102 staff-years requested in FY 1991, a reduction of nearly 72 percent.

This reduction in staff has been due in large measure to new flexibility offered by various legislative changes. While the laws themselves reduced ICC jurisdiction in many respects, administrative use of broad, discretionary powers has also simplified many areas of regulation and eliminated others found unnecessary. This has allowed staff streamlining. Functional review continues to be important in improving procedures to increase staff efficiency. Finally, the Office has a program of cross-training motor attorneys to handle rail work. This ensures that staff is used efficiently and that the Commission will have available the necessary expertise to handle its docket.

MAJOR ACCOMPLISHMENTS IN FY 1989 - MOTOR

- Processed over 15,000 applications for motor freight, bus, household goods freight forwarder, broker, and water carrier authority within statutory deadlines.

- Developed a new licensing application for permanent and temporary authorities with a view toward improving agency efficiency and simplifying the process for the public.

- Prepared a policy statement and final rule for submission and evaluation of safety fitness evidence in motor carrier licensing proceedings and expanded that policy to transfer proceedings.

- Prepared amended rules and a revised application form to register and license foreign motor carriers as required by the Truck and Bus Safety and Regulatory Reform Act of 1988.

- Completed final or interim action in all motor rate bureau cases.

- Prepared a decision approving a merger between two rate bureaus and other decisions involving rate bureau agreements.

- Continued rulemaking efforts to update and streamline regulations and eliminate unnecessary regulations, including those related to transferring operating rights.

- Prepared decisions in such areas as:
  - -- carrier credit regulations,
  - -- certain water carrier operations,
  - -- inadvertence clauses in released rates tariffs, and
  - -- accounting and reporting requirements for private carriers.

- Prepared numerous decisions finding that carrier efforts to charge higher filed tariff rates are an unreasonable practice where lower rates were negotiated, but never filed.

- Prepared numerous decisions determining the jurisdiction of the ICC and the States to regulate trucking operations.

- Processed under expedited procedures hundreds of requests to transfer operating authority and for exemption from Commission common control approval.

- Prepared decisions determining which tariff applied to a shipper's goods.

- Prepared decisions requiring bus companies to demonstrate the connection between their interstate and intrastate services.

- Prepared decisions permitting bus companies to pool traffic and revenues in certain markets.

- Prepared a decision revising regulations for recovery of expenses by parties to Commission adjudicatory proceedings.

- Prepared decisions permitting increased intrastate bus fares and intrastate bus exit where States failed to act properly or refused to act on the proposals.

- Prepared a decision regarding UPS' cancellation of service to shippers of common fireworks.

- Prepared a decision instituting a proceeding to investigate the use of discount tariffs and customer account codes by motor carriers.

MAJOR ACCOMPLISHMENTS IN FY 1989 - RAIL

- Completed a rule-by-rule analysis of all rail and rail-related regulations to identify obscure or outdated ones needing revision or deletion, and began preparing implementing decisions.

- Further reduced the rate case backlog by preparing final decisions in several rate reasonableness, market dominance, and competitive access cases.

- Prepared a decision ordering a pipeline carrier to establish rates and publish a tariff for the transportation by a potential shipper of phosphate through the defendant pipeline carrier's slurry pipeline.

- Prepared decisions resolving issues pertaining to recyclable rates, including:

  - nationwide compliance with Commission standards for pre-Staggers Act movements and the handling of reasonableness and discrimination complaints involving post-Staggers, ferrous recyclable shipments;

  - the applicable statute of limitations for complaints arising under 49 U.S.C. 10731(e) regarding individual rates on recyclables;

  - new rules and procedures for monitoring compliance with the statutory rate ceiling for recyclable commodities; and

  - individual complaints challenging the lawfulness of increases in rates that were above the authorized rate cap.

- Prepared a decision addressing competing interests in a railroad right-of-way.

- Prepared decisions involving the Guilford System-Springfield Terminal leases and trackage rights.

- Prepared decisions granting applications filed under the Feeder Railroad Development Program, including one involving competing applications.

- Prepared decisions addressing discontinuance of passenger operations in the Chicago area and interpreting 49 U.S.C. 10908.

- Prepared decisions initiating a proceeding and ultimately determining a lack of Commission jurisdiction to impose labor protective conditions in connection with the Commission's denial of the Santa Fe-Southern Pacific rail consolidation.

- Prepared numerous decisions reviewing arbitral awards issued pursuant to employee protective conditions imposed by the Commission, and in so doing established procedural rules for such review.

- Prepared decisions determining that a carrier, by maintaining an unjustified embargo, failed to fulfill its common carrier obligation to provide service to a grain shipper.

- Prepared numerous decisions authorizing the New York, Susquehanna and Western Railway Corporation to operate without Federal subsidy or other Federal compensation over the lines of the Delaware and Hudson Railway Company.

- Prepared new, streamlined procedures for State recertification under 49 U.S.C. 11501, and authorized four States to continue regulating intrastate traffic pending final adoption of new procedures.

- Prepared a decision modifying the 1982 Guilford Consolidation transaction by imposing interchange protective conditions for the benefit of the Canadian National Railway Company.

- Prepared numerous decisions addressing implementation of the National Trails System Act and concluding, among other things: that the Commission is not required to consider the environmental effects of interim trail use; that interim trail use does not amount to an unconstitutional taking of reversionary property interests of adjacent landowners; and that detailed rules and reporting regarding maintenance of the trail, for example, are not necessary.

- Prepared rules amending the abandonment regulations by:
    - -- treating return on investment for equipment as an element of avoidable cost rather than as an economic cost;
    - -- proposing to reallocate the burden of proof as to property taxes; and
    - -- proposing to increase the offer of financial assistance (OFA) purchase price to compensate for tax liability incurred on the sale of personal property.
- Prepared a decision in a court-referred dispute finding that the traffic moved as "property" and was subject to tariff charges.
- Prepared a decision permitting acquisition of control of a water carrier (SCNO) by CSX, a holding company that owns and controls several Commission-regulated carriers including a competing Class I rail carrier (CSXT) and a competing inland barge carrier (ACL).
- Prepared decisions on numerous minor consolidation transactions authorizing Class III rail carriers to purchase and/or lease lines of Class I rail carriers.
- Prepared decisions implementing the "exceptional circumstances" standard for imposition of labor protection in shortline acquisitions under 49 U.S.C. 10901.
- Initiated and completed extensive training for all attorneys and paralegals on a variety of subjects, including rail accounting issues and legal writing.
- Continued and extended the cross-training of Motor Section attorneys.

OBJECTIVES FOR FY 1990 AND FY 1991 - MOTOR

- Complete action on the new application form.

- **Continue to provide support for the Commission's effort to reduce unnecessary regulation through new rulemaking initiatives and individual exemption proceedings.**

- **Finalize remaining motor rate bureau proceedings and develop standards for water and household goods freight forwarder rate bureaus.**

- **Timely process and complete all cases having statutory deadlines and issue certificates of registration under the new standards of the Truck and Bus Safety and Regulatory Reform Act of 1988.**

- Continue to monitor carrier safety fitness and review those authorities that have been issued for limited terms.

- Timely process cases the Commission must consider but which have no statutory deadlines regarding such areas as:

  - -- tariff applicability;

  - -- the reasonableness of collection of undercharges in cases involving unfiled, negotiated rates;

  - -- the scope of permissible intrastate passenger carrier operations in connection with interstate operations over the same route; and

  - -- the interstate/intrastate nature of certain freight movements.

OBJECTIVES FOR FY 1990 AND FY 1991 - RAIL

- Support the Commission's continuing effort to reduce unnecessary regulation through rulemaking and exemption proceedings and prepare new rules to refine existing procedures and eliminate unnecessary rules.

- Meet statutory deadlines and prepare timely decisions on cases not subject to statutory deadlines, including those involving:

  - -- arbitration;

  - -- abandonments;

  - -- competitive access;

  - -- rate reasonableness;

- -- new shortline and regional railroads; and
- -- State recertification.

BENEFITS TO THE PUBLIC

The Office, by preparing thousands of decisions within statutory timeframes, enables carriers and brokers to operate efficiently in the competitive transportation marketplace. Where competition is not an effective regulator, the Office prepares decisions offering substitute administrative protections. By assuring the public that applicants are operationally fit before issuing certificates permitting motor carrier transportation, the Office ensures the availability of competitive transportation services while protecting against the irresponsible operator.

WORKLOAD

Motor - In FY 1991, the Office of Proceedings will commit 46 staff-years to motor-related activities. Licensing work will consume about 69 percent of these resources; rate and finance activity, about 27 percent; and rulemakings, the balance.

Licensing applications have continued their upward spiral since FY 1987, but very few cases are opposed. New strategies for handling the unopposed docket more efficiently have allowed us to handle an increased workload without additional staff. Shifting safety issues to pre-publication has contributed to our ability to absorb additional work without straining our existing resources. If the proposed revisions to the OP-1 application form are put in place, additional staff resources now committed to licensing will be available for other work.

The Commission's decision to take a more aggressive posture in undercharge cases has resulted in a somewhat larger but still not significant number of rate complaints. Resources are available to handle a large number of these cases. While FY 1990 staff-years for this function have been increased somewhat to reflect the potential new work, the FY 1991 staff-years anticipate relatively routine handling of them.

We expect to continue to receive a limited (declining) number of interstate/intrastate filings and other licensing-related complaints and petitions. Decisions will also be drafted for the remaining rate bureaus awaiting final approval of their agreements.

Motor finance activity is expected to remain relatively stable. However, under our simplified procedures, any added filings should not pose a staffing problem. Safety issues are being handled as pre-publication issues in finance cases, and they have not created a significant workload.

Rulemaking activity is relatively low. Our ongoing project to simplify, clarify, and eliminate rules which either impede the efficiency of the entities we regulate or produce unnecessary regulatory activities is close to completion. We will continue to process the limited number of public requests for rulemaking, as well as institute rulemakings on our own motion, as necessary.

Rail - In FY 1991, 56 staff-years will be committed to rail work and will be apportioned as follows: approximately 70 percent for finance and antitrust activities and 30 percent for rate and rulemaking activities.

The workload is analyzed in terms of the number of decisions issued in four general areas: rates, finance, antitrust, and rulemakings. The rates area includes, but is not limited to: formal rate reasonableness, market dominance, competitive access, unreasonable practices complaints and investigations, and State certifications. The finance area covers, among other things, abandonments of rail lines and the discontinuance of service or trackage rights, shortline acquisitions, small-scale mergers and unifications (intermodal or intramodal), exemptions, appeals of arbitral awards, interpretations of labor protective conditions, Amtrak compensation cases, and petitions seeking declaratory orders. Antitrust cases include large-scale intermodal/intramodal mergers and consolidations, rate bureau proceedings, and pooling. Rulemakings cover all four areas, and include class exemptions and proposals to amend existing regulations or create new ones.

Although the number of new rate cases is small and the number of old rate cases has been sharply reduced, the latter include several complex and controversial proceedings. Moreover, in these cases the timing of final decisions depends mostly on how quickly the parties involved are able to complete recordbuilding. In recent years the parties have sought extensive discovery and have engaged in increasingly antagonistic procedural disputes, all of which increase the Commission's workload and delay final decisions. Therefore, a significant portion of staff resources will continue to be devoted to rate cases in the next 2 years.

Section 11501 enables individual States to regulate intrastate rail transportation if they establish procedures that conform with the policies and procedures of this Commission. Twelve recertifications are due in FY 1990 and four in FY 1991. To accommodate this fluctuation in the workload, a modest downward adjustment of staff resources will be made in FY 1991. In light of the 5-year cycle of State recertifications under section 11501, in FY 1989 the Commission, on its own motion, developed procedures to simplify the recertification process. The staff-year projections reflect the simplified procedures.

Petitions seeking waiver of undercharges or the payment of reparations have virtually ceased as a result of new rail transportation contract rules. Thus, few rate-related exemptions are expected.

Because pending judicial review involving the applicability of the Railway Labor Act to shortline sales largely restrained railroads from selling marginal lines to new companies, cases involving such sales sharply decreased. As a result, and as predicted, abandonment activity in FY 1989 greatly increased. While the Supreme Court recently handed down its decision, the full ramifications of it are not clear, and this case activity continues to be low. Thus, a reduction in staff resources devoted to shortline sales and an increase in those devoted to abandonments appears appropriate.

Abandonments also continue to involve many complex issues such as offers of financial assistance to purchase or subsidize lines slated for abandonment, claims of reversionary property owners in cases involving the Trails Act, and potential use of rights-of-way for trails and other public purposes. In recent years the number of abandonment applications has increased, paralleling the decline of shortline sales due to uncertainties arising out of labor issues. Unless the shortline sales program revives, we expect the number of abandonment applications to continue to rise. Consequently, the increased level of staff resources now expected to be committed to abandonments in FY 1990 is preserved in FY 1991, as is the decreased level of staff resources devoted to line sales.

Another option available to large carriers seeking to rationalize their systems is to sell or lease segments to smaller existing carriers. The Commission has recently seen several applications filed under the "minor transactions" provisions of section 11343. It is too early to predict whether these applications will become a popular vehicle for the rationalization of the system, so we have projected a level of activity in FY 1991 consistent with the somewhat lower level prior to FY 1989.

Whether the current level of staff resources is devoted to line sales to new carriers under section 10901, to line sales to existing carriers under section 11343, or to abandonments under section 10903, we can be fairly sure that the present level of Commission activity will be maintained. We are confident that the railroad industry will continue to restructure during the next few years; however, the form that the restructuring will take is unclear. Most of the options available to the industry require some form of review by the Commission. These transactions, especially abandonments, are often contentious; and the level of intensity with which these cases are argued does not seem to be diminishing over time.

The filing of appeals of arbitration awards has increased since FY 1988 and is expected to continue, requiring considerable resources. The Commission's Lace Curtain decision provided that the agency would review the decisions of arbitrators issuing awards implementing labor protective conditions established by the Commission. Labor issues are some of the most controversial matters that come before the agency. The extent of agency review of arbitrators' decisions, although outlined in Lace Curtain, will not be made clear until a more extensive body of decisional law exists. Thus, we continue to project this as a relatively large workload item. Other miscellaneous finance cases, such as petitions for declaratory orders, petitions seeking interpretations of statutory provisions or regulations, and Amtrak compensation cases are expected to continue.

No new requests for rate bureau antitrust immunity were filed during FY 1989. However, petitions to extend immunity or modify outstanding grants of immunity may be filed at any time. Therefore, limited staff resources will remain committed to this work.

While no new major rail mergers or consolidations have been filed, a number of smaller but still significant sales and related transactions are pending. These cases involve antitrust issues and require substantial staff resources. Although antitrust issues also arise in pooling applications, these cases typically are less complicated and do not involve significant staff time.

The Commission, through rulemaking, continues to analyze its regulations to identify any that are obscure or outdated, and to prepare new rules as appropriate to reflect current policy. A slight increase in Office of Proceedings-generated rulemakings is anticipated in the years ahead. Although most regulatory reforms triggered by the Staggers Act are nearly completed, other rulemakings may be instituted, both upon request of interested parties and pursuant to the Commission's ongoing review of the Code of Federal Regulations.

RESOURCES

Personnel Compensation and Benefits - Included in the $6,021,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - Office of Proceedings staff participate in meetings, conferences, and workshops to offer information about ICC proceedings and regulations, and they participate in staff training at off-site locations. Estimated travel costs for FY 1991 are $5,000.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1989	FY 1990	FY 1991
Motor Workload			
Licensing			
Permanent Freight	12,025	12,800	12,800
Bus Entry	803	800	800
Broker	3,009	3,000	3,000
Operating Rights Appeals	188	200	200
ETA/TA Appeals	2	2	2
Water Carrier Cases	9	6	6
Complaints, Investigations, and Petitions for Declaratory Orders	17	15	15
Rates			
Complaints, Investigations, and Rate-related Exemptions	189	250	250
Intrastate Bus Rates and Exit	2	2	2
Rate Bureau Investigations	14	6	4
Finance			
Mergers and Acquisitions	224	240	240
Transfers	677	700	700
Finance Temporary Authority	69	70	70
Pooling	2	2	2
Rulemakings	13	8	8

WORKLOAD SUMMARY

	FY 1989	FY 1990	FY 1991
Rail Workload			
Rates			
Complaints/Declaratory Orders/Investigations	102	80	80
Intrastate Cases/State Certifications	9	15	10
Minor Exemptions	4	5	5
Finance			
Abandonment Applications and Exemptions	496	530	530
Minor Mergers and Consolidations-Applications and Exemptions (including Intermodal)	114	95	95
Certificates under 10901 (Construction, Acquisitions, and Operation)-Applications and Exemptions	99	50	50
Leases and Trackage Rights-Applications and Exemptions	61	60	60
Other	41	40	40
Antitrust Matters			
Rate Bureau Proceedings	3	1	1
Large Intramodal Merger and Consolidation Applications	11	30	30
Pooling, Interlocking Directorates, and Other	6	10	10
Rulemakings	22	30	30

OFFICE OF PROCEEDINGS

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
Personnel Compensation and Benefits	$6,052	$6,298	$6,021
Travel	1	3	5
Contracts	0	0	0
Other Expenses	1,307	1,291	1,263
TOTAL ESTIMATES	$7,360	$7,592	$7,289

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR			
Freight	48	45	40
Bus	5	5	4
Household Goods	1	1	1
Broker	1	1	1
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	55	52	46
RAIL			
Antitrust	5	9	8
Other	53	50	48
TOTAL RAIL PROGRAM	58	59	56
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	113	111	102

OFFICE OF HEARINGS

The FY 1991 request for the Office of Hearings is $428,000 and 5 staff-years. The Office of Hearings devotes its resources to the conduct of adjudicatory hearings pertaining to the rate, finance, and licensing activities of the surface transportation industry regulated by the Commission. Administrative Law Judges conduct oral hearings as required, assist in discovery and case management, and issue decisions after examining and weighing the evidence presented.

A moderate docket of rail rate, abandonment, and merger cases requiring oral hearings or case management by an Administrative Law Judge is anticipated. A few motor carrier cases are also anticipated.

MAJOR ACCOMPLISHMENTS IN FY 1989

- Issued initial decisions in major rail rate and other rail cases, including: No. 39169, Shippers Committee, OT-5 v. Ann Arbor Railroad Company, et al. (to establish nationwide guidelines for rail use of shipper-owned hopper cars) and No. 38301, Coal Trading Corporation v. The Baltimore and Ohio Railroad Company, et al. (to establish rate guidelines for export coal moving to eastern ports).

- Completed action on the remainder of the original 900 Staggers Rail Act Section 229 rail rate complaint cases filed with the enactment of the Staggers Rail Act of 1980.

OBJECTIVES FOR FY 1990 AND FY 1991

- Complete evidentiary record in rail rate, abandonment, and merger cases assigned for hearing. Issue initial decisions in proceedings not reserved for decision by the Commission.

- Handle discovery problems in cases requiring an experienced adjudicator and obtain settlement of disputes without protracted litigation.

- Handle any non-rail cases assigned to the Office.

BENEFITS TO THE PUBLIC

Hearings associated with complex or intensely disputed cases provide the various competing interests with a forum in which they may delineate and focus on the issues. In a hearing, witnesses may be confronted, evidence may be weighed, and disputed facts may be resolved. This enables the Commission to render decisions based on a clearly developed record. Hearings also provide a focal point for controversial proceedings. The public gains an understanding of issues and appreciation of the position of adversary parties that otherwise does not occur. The pre-trial process also provides the shipping public with a forum for settlement of transportation disputes without protracted litigation.

Importantly, oral hearings are a desirable and inexpensive method of case processing in circumstances where extensive formal discovery and multiple written evidentiary submissions are otherwise the alternative method of case processing.

WORKLOAD

A modest but complex docket of cases is assigned to the Office of Hearings. Hearings are held in cases where material facts are in controversy and information is best elicited through the cross-examination of expert or hostile witnesses. Such cases may entail extensive pretrial discovery and the motion practice that accompanies such discovery. Case management of such proceedings by an Administrative Law Judge is essential.

In addition, the prospect of a hearing often provides the impetus to force opposing parties into serious negotiation. With the aid of an Administrative Law Judge, such negotiations can develop stipulations on issues or resolution of the conflicts, thus obviating the need for a hearing. In such instances, the judges are able to conclude the cases, while continuing to be available for the major cases of national significance which require the full hearing process.

RESOURCES

Personnel Compensation and Benefits - The Office of Hearings will require $349,000 to support 5 staff-years in FY 1991. In addition to direct salary costs, this amount includes Government contributions to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - These expenses are directly related to the number, type, location, and length of hearings. The FY 1991 estimated travel costs are $8,000.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1989	FY 1990	FY 1991
Motor Licensing Cases	1	1	1
Rail Rate Cases	21	20	20
Rail Finance Cases	4	4	4

OFFICE OF HEARINGS

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
Personnel Compensation and Benefits	$316	$336	$349
Travel	2	5	8
Contracts	0	0	0
Other Expenses	65	68	71
TOTAL ESTIMATES	$383	$409	$428

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR			
Freight	0	0	0
Bus	0	0	0
Household Goods	0	0	0
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	0	0	0
RAIL			
Antitrust	0	0	0
Other	5	5	5
TOTAL RAIL PROGRAM	5	5	5
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	5	5	5

OFFICE OF PUBLIC ASSISTANCE

The FY 1991 request for the Office of Public Assistance is $1,069,000 and 13 staff-years.

The Office advises minority-owned and small businesses, entrepreneurs, shippers, governmental bodies, and the public of Commission policies, rules, programs, and proceedings that affect their interests. The Office aids the participation of these diverse groups in rail abandonments, motor licensing proceedings, rail exemptions, bus rate and exit cases, and other matters. It also maintains cooperative relations with State and local governments. In addition, the Office contributes to the development of complete records in agency proceedings and advises the Commission of changing public needs and concerns relating to the regulated interstate surface transportation industry.

The staff is based at headquarters, but field visits are made when a request for Commission action filed by a carrier generates widespread public interest and there are requests for special assistance concerning the matter.

MAJOR ACCOMPLISHMENTS IN FY 1989

- Counseled shippers, communities, and the public on rail abandonment regulations and procedures and facilitated their participation in abandonment hearings and public meetings; advised these groups on negotiating with railroads to continue service and/or methods of attracting new shortline operators as an alternative to abandonment of rail lines.
- Assisted the public and shippers on a broad range of issues and procedures, including rail exemptions, rail line embargoes, financial assistance, employee labor protection rules, and discovery rules and public use conditions.
- Reviewed 350 draft motor filings prior to formal submission to the Commission; assisted 1,027 participants in rail Commission proceedings; and responded to 16,536 inquiries from the public regarding Commission practices and policies.
- Published the 1989 listing of minority- and female-owned motor carriers.
- Revised a booklet explaining railroad application procedures and updated five publications relating to motor carrier licensing and operations for small businesses.

- Made presentations on ICC rules and regulations before the Transportation Research Forum, the Transportation Research Board, the Greater Pee Dee Traffic Club, and at four different small business seminars.

- Maintained communication with the National Association of Regulatory Utility Commissioners, State transportation agencies, the National Governors' Association, the American Association of State Highway and Transportation Officials, and the National Conference of State Legislators regarding uniform State transportation policies, Federal transportation preemption issues, and other matters of mutual concern.

OBJECTIVES FOR FY 1990 AND FY 1991

- Provide advice to the Commission on proposed policy changes and legislation having potential impact on small businesses, small shippers, State and local governments, and consumers.

- Provide assistance to communities, special groups, shortline railroads, and State officials concerning Commission practices, procedures, and regulations relating to rail, bus, and motor freight proceedings.

- Publish new and/or revised booklets providing guidance on rail abandonments, shortline railroad application requirements, and motor carrier regulations and procedures.

- Maintain the Commission's minority- and female-owned motor carrier listing.

- Promote harmonious State and community relations in areas of Commission regulation.

- Review applications, petitions, appeals, and other filings, upon request from new or small carriers, small shippers, small communities, and State bodies.

BENEFITS TO THE PUBLIC

By providing accurate information and counseling to affected groups and persons unfamiliar with Commission practices and procedures, the Office of Public Assistance facilitates effective public participation in Commission proceedings and helps ensure that the Commission makes informed decisions based upon a full and complete record. Through coordination with State and community representatives, the Office assists in ensuring full consideration of public impact in the Commission's decisionmaking process; and, by explaining and facilitating agency actions, it fosters an effective Federal/State relationship.

WORKLOAD

The primary objective of the Office of Public Assistance is to aid consumer groups, small communities, small businesses, State regulatory bodies, shippers, and individuals concerned with surface transportation in dealing with the Commission. As part of this effort, new publications are written and existing ones updated in an ongoing attempt to remain current with changes in Commission decisions, procedures, and policies.

In FY 1989, there was a substantial increase over the previous fiscal year in the volume of mailings to State regulatory bodies, primarily because the Office expanded its mailing list of State agencies involved in various aspects of railroad issues and because of a reduction in the number of decisions being published in ICC bound volumes. The Office also experienced an increase in requests for assistance in motor carrier and rail proceedings. Absent major ICC or legislative actions or other unforeseen changes, staff resources devoted to these functions are expected to remain steady throughout Fiscal Years 1990 and 1991.

Many of the inquiries the Office handles are time consuming, involving rail abandonments, acquisition and operation of new shortline railroads, and employee protection cases. Intensive staff effort is required when the most controversial cases are set for oral hearing or when railroad acquisition or financial assistance filings involve complex issues. To ensure development of a complete record, the Office provides assistance to States, communities, and members of the public who are parties in railroad abandonment cases. The Office anticipates a constant demand for assistance in rail and a tapering off in the number of passenger service and motor carrier-related requests over the next two years with use of the new OP-1 form.

During FY 1989, the Office also updated several of its informational publications to reflect changes in Commission rules, policies, and procedures. Among the materials revised were application procedures for starting a small railroad, guidelines on applying for temporary or emergency temporary authority, and rules governing small carrier transfers. This Office anticipates that the need to revise certain existing motor carrier guide books will diminish in FY 1990 when the newly proposed, streamlined OP-1 application form is approved by the Commission. Concomitantly, written and telephonic procedural inquiries relating to motor carrier authority regulations will probably increase during the transition period and then level off within a few months.

RESOURCES

Personnel Compensation and Benefits - The Office of Public Assistance will require $901,000 to support 13 staff-years in FY 1991. In addition to direct salary costs, this amount includes the Government's contributions to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - Travel funds are used to assist in developing complete records in rail abandonment proceedings scheduled for oral hearings, to facilitate State/community liaison activities, and to participate in educational outreach programs and selected speech presentations. Continued involvement in functions requiring travel is critical to the mission of this Office. Travel costs for FY 1991 are estimated at $7,000.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1989	FY 1990	FY 1991
Motor Workload			
Assist Participants in Commission Proceedings	350	300	260
Counseling/Individual Public Assistance	13,474	14,000	11,000
Educational/Outreach Projects	20	15	14
State/Local Liaison Activities	1,375	1,500	1,500
Rail Workload			
Assist Participants in Commission Proceedings	1,027	1,000	1,000
Counseling/Individual Public Assistance	3,062	3,000	3,000
Educational/Outreach Projects	11	10	10
State/Local Liaison Activities	3,318	3,000	3,000

OFFICE OF PUBLIC ASSISTANCE

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
Personnel Compensation and Benefits	$879	$934	$901
Travel	4	4	7
Contracts	0	0	0
Other Expenses	162	164	161
TOTAL ESTIMATES	$1,045	$1,102	$1,069

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR			
Freight	3	3	3
Bus	2	2	1
Household Goods	0	0	0
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	5	5	4
RAIL			
Antitrust	0	0	0
Other	9	9	9
TOTAL RAIL PROGRAM	9	9	9
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	14	14	13

OFFICE OF TRANSPORTATION ANALYSIS

The FY 1991 request for the Office of Transportation Analysis is $2,274,000 and 24 staff-years. The Office has three primary missions. First, it ensures that economic, energy, and environmental concerns are adequately assessed in the Commission's decisionmaking process. In fulfilling this mission, evidence submitted in Commission proceedings or gathered by the Office is subjected to rigorous economic and environmental analysis. Support is typically provided to other Commission organizations responsible for carrying out legislative compliance, enforcement, costing, and related functions.

Second, the Office develops and conducts evaluations and special studies of the economic impacts of various regulations and monitors ongoing transportation developments such as the growth of shortline railroads, the potential for rail car shortages, etc. This includes monitoring the effects of regulatory reforms on rail, truck, and bus transportation. The Office develops and maintains economic and statistical tools for these purposes and provides liaison with other government agencies, industries, and organizations on major transportation issues.

Third, the Office performs the statutory responsibilities of the railroad contract rate advisory service mandated by the Staggers Rail Act of 1980 and the statutory responsibilities assigned to the Rail Services Planning Office under the Regional Rail Reorganization Act of 1973 and the Railroad Revitalization and Regulatory Reform Act of 1976.

The Office of Transportation Analysis consists of three sections: the Section of Research and Analysis, the Section of Energy and Environment, and the Rail Services Planning Section.

MAJOR ACCOMPLISHMENTS IN FY 1989

- Provided analytical support on a number of rail rulemakings and cases dealing with issues such as competitive access, market dominance, rail cost adjustment, cost recovery percentage, coal rate guidelines, rail rate guidelines for non-coal commodities, exemptions, antitrust, productivity adjustment, pooling, and revenue adequacy.
- Provided environmental, economic, and other analyses for rail acquisitions/mergers, abandonments, and construction cases.
- Completed an analysis of trends in rail rates since the Staggers Rail Act of 1980.

- Acted as the lead office in drafting the decision implementing the Commission's decision to approve, in part, Trailer Train's application for a pooling agreement.

- Initiated, completed, or continued a number of studies and analyses to determine the impact of legislative and Commission actions on the transportation industry. These included: a monitoring report on activity in the motor freight industry; an assessment of the availability of rail cars for grain transportation; a monitoring study of railroad activities following the boxcar exemption; a survey of shippers utilizing shortline railroads established since the Staggers Act; and a monthly monitoring report of the performance of selected new shortline and regional railroads.

- Developed information on the rail, bus, and trucking industries for use in oversight hearings.

- Initiated an analysis of the costs and benefits of expanding commercial zones and terminal areas for motor carriers of freight.

- Initiated an assessment of traffic flows and service on the bankrupt Delaware and Hudson Railway Company during the directed service operations over the line by the New York, Susquehanna and Western Railway Corporation.

- Refined and maintained a rail contract rate database by entering 15,513 rail contract summaries. This database provides current information on railroad contracts for use internally and in responding to congressional and public inquiries.

- Provided annual update of railroad system diagram maps to the Federal Railroad Administration (FRA) for use in their State assistance funding program.

- Administered the Commission's Waybill Sample Program, which included negotiating a new contract for processing the waybill sample, processing waybill data requests, and compiling waybill data.

- Carried out a variety of public assistance activities on contract rates, shortline acquisitions, abandonments, and subsidies.

OBJECTIVES FOR FY 1990 AND FY 1991

- Provide economic and environmental analyses of major merger proposals, rail line construction proposals, abandonment applications, rail acquisitions, and major rail rulemaking or policymaking efforts.

- Provide analytical support for other rail casework, especially competitive access cases, market dominance cases, and those to which maximum rate guidelines apply, including coal and non-coal commodities.
- Undertake and complete analyses, studies, reports, and monitoring of various rail activities as directed by the Commission and Congress, e.g., monitoring grain car shortages, prospects for future service on the Delaware and Hudson Railway, trends in rail rates, conversion of rail corridors to trails, and the shortline railroad situation. Provide monitoring reports for the bus and motor freight industries.
- Provide support in evaluating legislative proposals and preparing for oversight hearings.
- Carry out the functions of the Contract Advisory Service, including maintaining a contract rate computer database and responding to inquiries on contract rates, shortline railroads, and abandonments.
- Administer the Waybill Sample Program.

BENEFITS TO THE PUBLIC

The Office of Transportation Analysis' provision of economic and environmental analyses for the Commission's consideration in its decisionmaking process benefits the public by helping to provide a sound basis for decisions. These analyses include an assessment of the impact of Commission actions on the public health and safety. The staff identifies probable effects of a proposed action on air quality, noise levels, water quality, and overall safety; recommends measures to ameliorate adverse impacts on the quality of the human environment; and explores issues in Commission proceedings which involve energy conservation, wildlife, historic preservation, and land use.

In addition, the Office provides technical and planning assistance to community groups faced with loss of rail service by abandonment. It also provides guidance and assistance in studying the economic feasibility of operating shortline railroads. All inquiries from shippers, carriers, government agencies, or members of the public regarding rail contract rates are handled by this Office. Finally, this Office handles all public requests for railroad waybill data.

WORKLOAD

The Office provides economic and transportation analyses to support the Commission's objective of developing full and complete records in rulemakings. The rail rulemaking workload is expected to remain somewhat constant between FY 1989 and FY 1991. This will consist primarily of support needed to modify current or proposed rail regulations, including proposals for exemption of selected traffic from regulation. The Office anticipates minimal activity in motor, water, and bus rulemakings.

The analyses and studies prepared by the Office enhance the Commission's rulemaking and casework decisionmaking, as well as its legislative support responsibilities. The FY 1991 workload in this activity is expected to consist of rail regulatory monitoring studies involving recent and future exemptions, monitoring studies of the motor freight and motor passenger sectors, shortline monitoring, and a study of the structure, conduct, and performance of the rail industry since the Staggers Rail Act. The legislative workload consists of analysis of economic and operational consequences of proposed legislation and input to Commission testimony before Congress. This work is expected to decrease somewhat in FY 1991, reflecting a trend of the past few years.

The Office's economic and environmental analysis activity supports the Commission's casework objectives. The economic analysis workload is expected to consist primarily of merger, consolidation, market dominance and rate reasonableness, competitive access, and construction proceedings. The environmental analysis workload will include construction, abandonment, abandonment exemption cases, revision of the environmental and energy rules, and assessment of possible programmatic approaches to satisfying the National Historic Preservation Act. This workload is expected to remain relatively constant through FY 1991. We expect that abandonment exemption petitions will number between 125 and 130 filings during FY 1990 and FY 1991.

The predominant workload for the Office's public assistance activity lies in the contract advisory service. This workload consists of answering inquiries from shippers and carriers about the rail contract process and preparing studies and reports on contract activity for use by the Commission, Congress, and other government agencies. The public inquiry portion of the Office's public assistance workload is decreasing. Another workload item is assistance to the public in understanding abandonment and acquisition procedures related to potential shortline and regional railroad operations. The Office also assists the public in filing waybill requests and ascertaining the type of waybill data needed for a particular rulemaking or project. In addition, the Office disseminates information on rail transportation to the general public.

Workload expended on motor carrier activities will require about one staff-year of effort.

RESOURCES

Personnel Compensation and Benefits - A total of $1,693,000 will be needed to support OTA's 24 staff-years. Included in this amount are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - A total of $10,000 is requested for travel during FY 1991. The majority of these funds will be used by the Section of Energy and Environment for physical inspection of proposed project sites and for conducting independent evaluation and verification of data provided by parties to proceedings. Funds will be used by the Section of Research and Analysis in completing truck, rail, and bus monitoring studies previously referred to.

Contracts - A total of $265,000 is requested to contract for various data, studies, and analyses in FY 1991. A discussion of individual projects follows.

- Rail Waybill Sample - $165,000 - The Commission's Waybill Sample is the basic source of rail transportation data. The waybill data contract (a five-year contract) involves the annual processing of railroad waybill data in order to develop the Commission's Master Waybill Sample as well as certain data subsets, files, and statistical reports for the Commission and the public. The goal of the waybill sample program is to establish an independent and statistically valid rail database for use by the ICC in carrying out its statutory responsibilities and conducting in-house analyses, and for use by participants in adjudicatory proceedings, Federal and State agencies, and other parties involved in substantive research projects and studies. A new contract was awarded in January 1989 for the processing of the Waybill Sample for calendar years 1989-1993.

- Rail Monitoring Studies - $40,000 - The Staggers Rail Act of 1980 included a provision permitting the Commission to exempt rail traffic from regulation under the following conditions: when regulation is not necessary to carry out national transportation policy, and when the service is either limited in scope or regulation is not needed to protect shippers from the abuse of market power. The Commission has exempted TOFC/COFC, miscellaneous agricultural commodities, and boxcar traffic from regulation. The effects of any future exemptions will be monitored to ensure that the anticipated benefits of the exemption are achieved.

- Supplemental Environmental Expertise - $50,000 - These contract funds will be used to engage consultants to supplement the staff's analytical capability for a variety of environmental purposes. Such assistance is necessary because the small environmental staff does not always have the specific technical expertise necessary for particular projects. Also, a number of rail construction applications are expected to be filed. Typical specialized expertise for which these funds have been and will be used are in the fields of biology, hydrology, and historic preservation.
- Monitoring of Surcharges and Joint Rate Cancellations - $10,000 - This contract is necessitated by the requirement that the Commission report to Congress annually on rail surcharges and joint rate cancellations. Tariff filings by railroads are monitored, and a summary of these activities is prepared by the contractor.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1989	FY 1990	FY 1991
Motor Workload			
Analyses/Studies	2	2	2
Legislative Support	1	1	0
Public Assistance	100	100	100
Rail Workload			
Rulemakings	8	7	7
Analyses/Studies	23	23	20
Legislative Support	3	3	3
Casework	323	320	310
Public Assistance	400	400	370

OFFICE OF TRANSPORTATION ANALYSIS

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
Personnel Compensation and Benefits	$1,724	$1,777	$1,693
Travel	9	6	10
Contracts	158	197	265
Other Expenses	318	323	306
TOTAL ESTIMATES	$2,209	$2,303	$2,274

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR			
Freight	1	1	1
Bus	0	0	0
Household Goods	0	0	0
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	1	1	1
RAIL			
Antitrust	6	6	6
Other	20	20	17
TOTAL RAIL PROGRAM	26	26	23
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	27	27	24

BUREAU OF ACCOUNTS

The FY 1991 request for the Bureau of Accounts is $4,376,000 and 55 staff-years.

The Commission's decisionmaking process is based in part on information about the regulated carriers--including costs of operation, market position, and financial condition--and on the financial and economic impact of the Commission's policies and practices. The Bureau of Accounts supports this decisionmaking process by providing analyses of cost, financial, and engineering evidence in rate and finance cases; costing, financial, and accounting expertise in rulemakings; and uniform financial and statistical data on the carriers' current performance.

The support which the Bureau provides to the Commission and other offices is dependent on the accounting and reporting systems prescribed by the Commission and on financial and cost evidence submitted in case records. Its functions ensure the accuracy and reliability of carrier data coming from these systems and help form a sound basis for decisionmaking. These functions include developing and updating accounting and reporting systems, compiling carrier and industry data, evaluating rail costing methodologies, developing cost information, determining the value of rail property and rail revenue adequacy, performing various costing projects and studies, and conducting audits of Class I railroads which focus on specific operating expenses and related statistics. The various functions of the Bureau are performed by three sections: Audit and Accounting, Rail Costing, and Financial Analysis.

MAJOR ACCOMPLISHMENTS IN FY 1989

- Provided case support in the form of cost analyses on 17 motor cases and 52 rail cases, financial analyses on 24 motor and 44 rail cases, and engineering analyses on 37 rail cases.
- Developed notices of proposed rulemakings and/or final decisions on various rulemakings including: quarterly Rail Cost Adjustment Factor, the Annual Cost of Capital and Revenue Adequacy Determinations, and Abandonment Costing.
- Continued to implement the principles and recommendations issued by the Railroad Accounting Principles Board, with the participation of interested parties through the rulemaking process. These included:
  - adopting the Entity Principle to provide consolidated information for revenue adequacy determinations;

  - modifying the rules regarding abandonment and light-density surcharge proceedings to comply with the Board's principles on cost-of-capital and the presentation of cost evidence;
  - adopting the Productivity Principle for calculating the quarterly Rail Cost Adjustment Factor;
  - adopting the Uniform Railroad Costing System as the preferred general purpose costing system for regulatory purposes;
  - incorporating certain technical modifications to the general purpose costing system together with a transitional mechanism for the jurisdictional threshold; and
  - evaluating compensation for competitive access in a merger case following the Board's principles.

- Completed 28 analyses of the financial condition of railroads.
- Completed 24 rail cost projects and studies.
- Analyzed each Class I railroad annual report for compliance with Commission rules and provided 127 interpretations of accounting and reporting systems.
- Compiled carrier data to produce 36 reports of transport statistics (17 motor, 19 rail).
- Completed review of workpapers and audit reports prepared by public accountants on each Class I railroad.
- Completed the proceeding to substantially reduce quarterly and annual reporting by motor carriers of property.

OBJECTIVES FOR FY 1990 AND FY 1991

- Provide costing, financial, and engineering staff support for motor and rail cases and rulemakings.
- Undertake and complete research to improve the utility of the Rail Cost Adjustment Factor and the Uniform Railroad Costing System methodologies.
- Improve the Bureau's capability in preparation and presentation of rulemakings and formal cases.

- Issue amendments to the accounting and reporting rules to keep the railroad systems current with ICC data needs and generally accepted accounting principles.
- Perform statutorily required calculations involving the rail cost adjustment factor and the recyclables ratio for use in rail costing activities of all Class I railroads.
- Re-evaluate the calculation and utility of the annual cost recovery percentage.
- Develop the annual cost of capital and revenue adequacy determinations for railroads.
- Develop necessary cost-of-service information for use in measuring reasonableness of freight rates.
- Compile transport statistics and produce 14 motor and 18 rail reports.

BENEFITS TO THE PUBLIC

In the rulemaking area, much of the work of the Bureau is aimed at establishing standards and criteria used in making decisions regarding the reasonableness of rates and the financial condition of the regulated carriers. Case support activities include determining whether proposed rate changes are reasonable based on carrier costs. Analyses of self-insurance applications from motor carriers are performed to determine if the companies are financially able to self-insure. Analyses are performed to verify evidence submitted in proceedings and ensure that decisions are based on sound information.

Financial and statistical information reported by the regulated carriers is maintained in a public reference room and made available to the public and the industry.

WORKLOAD

The Bureau of Accounts divides its work into the following general activities: case support, rulemakings, and maintaining data for decisionmaking and analyses.

Case support consists of performing analyses for rate and finance proceedings related to specific carriers involved in the cases. In recent years, motor carrier cases have dealt primarily with general rate increases for property carriers and analysis of self-insurance applications. The number of general rate increase filings has decreased since passage of the Motor Carrier Act of 1980 and is estimated to require little staff time in FY 1990 and FY 1991. In recent years, there have been two rounds of general increases filed by each of the 10 motor rate bureaus. However, during FY 1989, only a single round was filed; and the workload for FY 1990 and FY 1991 assumes a single round of general increases.

Rail case support deals with rate cases in which the maximum rate guidelines are applied, and finance cases where cost, financial, and engineering analyses associated with abandonments, line acquisitions, and mergers are required. Rail coal and non-coal maximum rate cases and competitive access proceedings are very difficult and complex cases requiring a major commitment of resources.

Analyses of shortline acquisition filings increased in FY 1989, a trend which is expected to continue into FY 1990 and FY 1991. Recent abandonment applications also required more careful analysis as the focus shifted to more marginal lines which were highly contested. Beginning in mid-FY 1989, the Bureau took on an expanded role in abandonment applications. In past years, the Bureau provided analyses only on those abandonments that were investigated. The Bureau is now providing technical support on virtually all applications to ensure that the data are reasonable and error free.

Rulemaking activity focuses on establishing guidelines or standards on railroad costing and financial issues. Several actions are required by statute, including the annual cost recovery percentage calculation, the quarterly rail cost adjustment index, the standard for rates on nonferrous recyclables, and the annual cost-of-capital and revenue adequacy determinations.

During FY 1989, the Bureau continued to prepare various proposals and final rules to implement the findings of the Railroad Accounting Principles Board. The Board's Final Report was published on September 1, 1987. The Commission is required to promptly implement the principles adopted by the Board and to allow for participation by interested parties through the rulemaking process. Implementation has necessitated changes to our accounting, reporting, and costing systems.

Most of the work remaining in FY 1989 regarding implementation of the Board's principles was concentrated on the rail costing activity. The Board has endorsed the Uniform Railroad Costing System (URCS) for general purpose costing, with the requirement that implementation be completed after further study on the regression analyses. This study has been completed, and a proposal to adopt URCS was issued for comment in FY 1989. Modifications to URCS, as a result of the study, and for other findings of the Board together with the final decision to implement the system, were completed in the last quarter of FY 1989.

With URCS supplanting Rail Form A as the general purpose costing system, a transition period will occur during FY 1990, until Rail Form A can be completely phased out. Maintenance of both systems together with programming improvements to URCS will require somewhat higher staff time in FY 1990, as reflected in the rail cost projects activity. The workload and staff-years in this activity for FY 1991 assume Rail Form A maintenance will no longer be necessary.

The Bureau's efforts in maintaining data for decisionmaking and analysis cover a variety of functions, including audits of each Class I railroad, interpretations of the accounting and reporting systems, collection and publication of industry data, depreciation studies and property database updates, various cost and financial studies and projects, and analyses of financial condition. The bulk of this effort is devoted to rail workload and is expected to continue at substantially the same level through FY 1991. For motor carriers, a small number of staff-years are devoted to maintaining data. This is due primarily to the reduction in accounting and reporting requirements for motor carriers of property and passengers.

Depreciation activities include reviewing studies prepared by railroads for the purpose of prescribing depreciation rates for various property and equipment accounts, as well as maintaining the net investment base for annual revenue adequacy determinations. Both activities are required by statute (49 U.S.C. 11143 and 10781 through 10786, respectively).

RESOURCES

Personnel Compensation and Benefits - The Bureau of Accounts will require $3,524,000 in personnel compensation and benefits to support 55 staff-years in FY 1991. Included in this amount are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - For FY 1991, the Bureau will require $63,000 for site visits and other official travel. This is primarily for on-site visits to railroads to finalize audit procedures, to review public accountants' workpapers, and to conduct audits of transactions with affiliated companies. Additional travel is included for training and familiarization with industry practices.

Contracts - The Bureau will require $55,000 in FY 1991 for an ongoing contract to compile selected financial data of rail and motor carriers of property for publication in Transport Statistics.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1989	FY 1990	FY 1991
Motor Workload			
Case Cost Analyses	17	12	12
Case Financial Analyses	24	15	15
Analyses of Carriers' Financial Condition	19	18	18
Cost Projects and Studies	1	1	1
Accounting/Reporting Projects	6	0	0
Transport Statistics and Other Reports	17	14	14
Rail Workload			
Case Cost Analyses	52	55	50
Case Financial Analyses	44	45	45
Case Engineering Analyses	37	35	35
Analyses of Carriers' Financial Condition	28	30	30
Cost Projects and Studies	24	23	20
Depreciation Analyses	38	32	30
Accounting/Reporting Projects	8	6	6
Accounting/Reporting Interpretations	127	120	120
Transport Statistics and Other Reports	19	18	18
Audits	31	30	30

BUREAU OF ACCOUNTS

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
Personnel Compensation and Benefits	$3,488	$3,573	$3,524
Travel	55	42	63
Contracts	50	52	55
Other Expenses	742	764	734
TOTAL ESTIMATES	$4,335	$4,431	$4,376

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR			
Freight	4	4	4
Bus	0	0	0
Household Goods	0	0	0
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	4	4	4
RAIL			
Antitrust	0	0	0
Other	56	54	51
TOTAL RAIL PROGRAM	56	54	51
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	60	58	55

BUREAU OF TRAFFIC

The FY 1991 request for the Bureau of Traffic is $2,976,000 and 54 staff-years.

The Bureau of Traffic's responsibilities relate to the statutory requirements that regulated carriers file their tariffs and various other pricing documents with the Commission and that these documents be made available to the public, be properly applied by carriers, and be properly interpreted when disputes concerning the application of such tariffs are brought to the Commission. The Bureau also serves the Commission and its staff as interpreters of carriers' tariff provisions. Through an informal process, carriers and their customers and the shipping public can settle tariff interpretation disputes without the necessity of initiating formal proceedings. Rate and tariff analysis support is provided to other offices in the Commission, and staff serve as expert witnesses in court proceedings involving rate and tariff matters. Through its employee boards, the Bureau acts initially for the Commission on petitions for relief from Commission tariff regulations and/or various statutory requirements dealing with provisions published in carriers' tariffs.

The Bureau is comprised of the Director's Office, the two sections, and three boards. The Section of Tariffs is responsible for tariff examination, maintenance of the tariff library, and related activities. The Section of Rates and Informal Cases interprets rate and tariff provisions. The Suspension/Special Permission Board is an employee board which handles protests against rates and other tariff provisions, requests for confidential information from rail contracts under discovery procedures, and requests for relief from the tariff publishing regulations. The Special Docket Board and the Released Rates Board are also employee boards which act initially for the Commission on matters involving carrier rate and tariff provisions.

MAJOR ACCOMPLISHMENTS IN FY 1989

- Processed, reviewed, and filed over 1.3 million tariffs and related documents, including 68,568 rail contracts and rail contract summaries for compliance with statutory and regulatory requirements; criticized or rejected 10,040 of these documents.
- Answered 13,815 inquiries from the shipping public, carriers, government agencies, and other parties concerning carriers' tariffs, rail contracts, or related matters.

- Issued 5,349 informal interpretations of regulated carriers' tariff provisions.
- Provided rate and tariff case analysis support for 212 cases (formal Commission proceedings).
- Handled 463 special dockets, released rate applications, and informal complaints and reparation orders.
- Disposed of 142 applications for special permission and proposed rate investigation and suspension cases and petitions for reconsideration of suspension and investigation matters.
- Responded to 371 requests for certified copies of carrier tariffs for use in court proceedings.
- Participated in 94 special projects and rulemakings.
- In conjunction with CP Rail (formerly the Canadian Pacific Railroad), initiated a process for the electronic filing of rail contracts and rail contract summaries complying with the newly established rail contract regulations.
- Provided special tariff authority to all tariff publishing agents to allow the filing of mileage tariffs electronically rather than in the conventional paper form.
- Initiated a proposed rulemaking, Ex Parte No. 444, Electronic Filing of Tariffs, to allow for the filing of all tariffs through electronic processes and to replace a significant number of detailed tariff publishing, filing, and posting regulations by adopting tariff standards in place of detailed regulations.

OBJECTIVES FOR FY 1990 AND FY 1991

- Process, review, and file about 1.4 million tariffs and related documents annually, including 70,000 rail contracts and rail contract summaries for compliance with statutory and regulatory requirements.
- Examine tariffs for reported violations of statutory provisions, Commission decisions, and tariff regulations in response to complaints from the public.
- Respond to 14,000 inquiries from the public, carriers, or other interested parties on filed tariffs, rail contracts, or related documents.

- Respond to 5,400 requests for informal interpretation of regulated carriers' tariff provisions.
- Provide rate and tariff analysis support for Commission proceedings.
- Process 390 special dockets, released rate applications, and informal complaints.
- Respond to 150 requests for special permission applications, rate investigation and suspension of proposed carrier tariff provisions, and rail contract discovery or review of contract provisions.
- Respond to 360 requests for certified copies of carrier tariffs for use in court proceedings.
- Participate in 93 special projects and rulemakings.
- Facilitate the electronic exchange of tariff and rail contract data between shippers/receivers of freight and carriers through implementation of Ex Parte No. 444, Electronic Filing of Tariffs, and develop methodology for the receipt, filing, and public display of tariffs at the Commission by electronic means.

BENEFITS TO THE PUBLIC

For the use of the shipping public and Commission staff, the Bureau maintains a tariff library which consists of all the regulated carriers' tariffs and related pricing documents. Tariff users also benefit from the use of special tariff authorities, which allow a waiver of tariff publishing regulations when justified by the needs of the marketplace. During the investigation and suspension process, the Commission determines whether the proposed tariff provisions violate the Interstate Commerce Act. The rail contract discovery process assists shippers in determining the effect of competitors' rail contracts. The Bureau also provides an informal opinion process to resolve disputes over tariff rates and provisions without initiating formal Commission proceedings.

WORKLOAD

In FY 1991, the Bureau will use 54 staff-years in performing its functions. Tariff maintenance and review will consume 64 percent of the staff resources. Rail contract maintenance and examination will require 12 percent. An additional 14 percent will be split between interpretations and case analysis support. The remaining 10 percent will be expended on the other activities.

Maintenance of the tariff library and all activities associated with the publishing and filing of carriers' tariffs and other price-related documents involving rail contracts, Federal Government traffic quotations, postal contracts, and household goods freight forwarder contracts require a major portion of the Bureau's staff-years. The staff also examines a number of carriers' tariffs for compliance with the statute, Commission decisions, and tariff publishing regulations; reviews rail contracts for compliance with the rail contract regulations; maintains a file of rail contract summaries for public review; and counsels carriers and other interested parties on tariff publishing and filing matters. Tariff filings are expected to remain stable at the current level. Rail contract maintenance and examination is expected to increase slightly with the increased filing of rail contract addenda, extensions, and additions of commodity, destination, and origin to new or previously filed rail contracts. Tariff liaison workload is projected to increase slightly in FY 1990 and FY 1991 as the Commission becomes involved with carriers' and shippers' inquiries regarding electronic tariff filing standards and procedures. Staff-year usage for all of these activities is projected to remain fairly constant through FY 1991.

Interpretations of carriers' tariff provisions and tariff certifications are projected to remain at approximately the same levels. Case analysis support, which provides rate and tariff expertise to the Office of Compliance and Consumer Assistance, the General Counsel, Hearings, and Proceedings, as well as other government agencies, is projected to remain relatively constant. However, as a result of the Commission's May 2, 1989, decision to reopen Ex Parte No. MC-177, National Industrial Transportation League--Petition to Institute Rulemaking on Negotiated Motor Common Carrier Rates, to change its policy regarding the acceptance of non-court referred cases, it is possible that the number of cases handled under case analysis support and certifications will increase.

Suspension/Special Permission Board activities have decreased significantly over the past several years, and the Board is operating effectively with a reduced staff. In FY 1991, staff will be reduced further to reflect the lower level of activity.

Two other employee boards in the Bureau act initially for the Commission on specific matters. Special Docket Board activities were changed by Docket 37130 (Sub-No. 4), Special Docket Proceedings - Exemption from Letter of Intent Requirement Involving Amounts of $25,000 or Less, which allows carriers to file a letter of intent to settle an issue rather than file an application and await a board decision. This significantly reduces the paperwork burden for all parties involved--carriers, shippers/receivers, and Commission staff. The Released Rates

Board, which at one time had a relatively high workload and acted to limit carrier liability in exchange for lower rates, has a very limited role today because of changes in statutory provisions.

All Bureau units participate in the special projects/rulemakings activity.

RESOURCES

Personnel Compensation and Benefits - Included in the $2,289,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - Travel funds of $1,000 are requested to participate in educational seminars on rates and tariffs, conferences sponsored by other government agencies or transportation organizations, and training sessions for the transition from printed to electronic receipt and storage of tariff and rail contract data.

Other Expenses - This category includes the Bureau's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1989	FY 1990	FY 1991
Motor Workload			
Maintaining Tariffs and Related Documents	1,221,268	1,250,000	1,250,000
Tariff Liaison and Counseling	12,261	12,500	12,500
Interpretations	4,352	4,400	4,400
Case Analysis Support	137	135	135
Rate Regulation Matters	1	0	0
Special Permissions and Suspension Cases	106	115	115
Certifications	366	355	355
Rulemakings and Special Projects	62	63	63
Rail Workload			
Maintaining Tariffs and Related Documents	66,231	65,000	65,000
Contract and Contract Summary Maintenance and Examination	68,568	70,000	70,000
Tariff Liaison and Counseling	1,554	1,500	1,500
Interpretations	997	1,000	1,000
Case Analysis Support	75	70	70
Rate Regulation Matters	462	390	390
Special Permissions and Suspension Cases	36	35	35
Certifications	5	5	5
Rulemakings and Special Projects	32	30	30

BUREAU OF TRAFFIC

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
Personnel Compensation and Benefits	$2,202	$2,337	$2,289
Travel	1	1	1
Contracts	0	0	0
Other Expenses	678	679	686
TOTAL ESTIMATES	$2,881	$3,017	$2,976

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR			
Freight	44	43	42
Bus	0	0	0
Household Goods	1	1	1
Broker	0	0	0
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	45	44	43
RAIL			
Antitrust	0	0	0
Other	13	14	11
TOTAL RAIL PROGRAM	13	14	11
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	58	58	54

OFFICE OF COMPLIANCE AND CONSUMER ASSISTANCE

The FY 1991 request for the Office of Compliance and Consumer Assistance (OCCA) is $11,990,000 and 181 staff-years.

OCCA has the responsibility for reviewing and monitoring the surface transportation industry's compliance with the revised Interstate Commerce Act and Commission regulations related to operations; keeping the Commission advised concerning operations and practices of surface transportation industries; pursuing investigatorial and prosecutorial programs for all modes of surface transportation subject to Commission jurisdiction; providing technical assistance to the Commission on operational practices of carriers; participating, when directed by the Commission, in the development of the record in proceedings before the Commission; providing assistance to the general public by receiving and resolving complaints; processing and deciding applications for temporary authority and emergency temporary authority; coordinating the Commission's overall mobilization activities, including the National Defense Executive Reserve Program; and providing liaison with other Federal and State agencies.

OCCA's organizational structure consists of a headquarters staff and 3 regional offices, under which there are 19 area offices. The headquarters staff consists of the Director's Office, the Section of Operations, and the Section of Enforcement. The two Sections provide policy guidance, program direction, and technical support to the office's field staff. Some technical functions, however, are performed exclusively at headquarters. These include the coordination of nationwide enforcement cases; the prosecution of cases involving violations of the Commission's Code of Ethics by Attorneys and Practitioners who practice before the Commission; the revocation of permanent authority when carriers fail to maintain required insurance; railroad car service matters; and the issuance of informal written interpretations regarding the Interstate Commerce Act and related regulations.

Each region is headed by a Regional Director. The field staff includes Special Agents, Attorneys, Transportation Industry Analysts, and clerical support personnel. Special Agents, stationed at the regional and area offices, perform a wide range of activities. These include public service functions such as responding to inquiries raised by the public and handling emergency hardship complaints where the complainants need immediate assistance. In addition, Special Agents engage in compliance functions, including insurance assignments, compliance surveys, special projects, road checks, and investigations.

Each regional office has a Complaint and Authority Center. These centers handle various complaints received in the regions, respond to a broad range of inquiries, monitor carriers' timely replacement of cancelled insurance filings, and process all applications for motor carrier emergency temporary and temporary authority. Staff members performing these functions are classified as Transportation Industry Analysts.

A small attorney staff is maintained in each region to handle enforcement matters. The Commission has provided the Office with a listing of high-emphasis enforcement categories which receive priority handling in line with available resources. The high-emphasis enforcement categories are:

- Antitrust
- Ethics
- Fitness/Safety
- Household Goods
- Illegal Lumping
- Insurance
- Kickbacks
- Overcharges/Duplicate Payments/Claims
- Owner-Operator Problems
- Unauthorized Passenger Carrier Operations
- Weight Bumping

A number of enforcement measures are available when violations of the Interstate Commerce Act, related statutes, and the Commission's regulations require action against the violators. These remedies include nonjudicial actions such as written warnings, violation notices that demand immediate compliance, and consent agreements wherein the violators agree, in writing, to cease and desist from further violative practices. More stringent enforcement actions are pursued when the facts indicate a need for stronger measures, which include Court-ordered injunctions, civil forfeitures, and criminal referrals to the Department of Justice. Additionally, depending on the nature of a violative practice, the Office can petition the Commission to open a formal investigation against a carrier to determine whether some type of redress or punitive action is necessary.

MAJOR ACCOMPLISHMENTS IN FY 1989

- Decided 7,250 applications for motor carrier emergency temporary and temporary authority; processed emergency temporary authority applications on a 1-day average turnaround and temporary authority applications on a 20-day average turnaround (including a 15-day statutory period for public notice).

- Handled 9,900 complaints leading to the recovery of nearly $1 million for complainants, including owner-operators.
- Assisted shippers in recovering from carriers approximately $3 million in duplicate payments of freight charges, $2 million from railroads, and $1 million from motor carriers.
- Handled 128,650 inquiries regarding the Interstate Commerce Act and related regulations of the Commission.
- Handled 18,600 insurance assignments in the field resulting from cancellations of carriers' certificates of insurance and other types of security by insurance companies.
- Conducted 630 compliance surveys of carriers and entities under Commission jurisdiction, including 18 rate bureaus.
- Conducted in-depth monitoring of rail operations in the Northeast to keep the Commission informed as to levels of service in this regional area.
- Issued emergency orders ensuring continuation of Amtrak service over alternate lines when disabilities occurred on regular route tracks.
- Conducted 510 final investigations, over 90 percent of which were in high-emphasis areas.
- Developed 2,140 litigation cases, of which over 95 percent were in high-emphasis areas.
- Refined procedures and methods used in evaluating the enforcement program.
- Issued 40,450 orders related to the revocation or reinstatement of operating authority certificates.
- Prepared a decision on the return of proportional freight charges on household goods lost or destroyed by movers.
- Prepared 8 decisions on self-insurance applications for consideration by the Commission.
- Provided the public with informal written interpretations regarding the Interstate Commerce Act and related regulations.

OBJECTIVES FOR FY 1990 and FY 1991

- Maintain a high level of service to the public and the industry.
- Identify and investigate violations of the rules, regulations, and laws under the Commission's jurisdiction.
- Continue to use enforcement options such as consent agreements, injunctions and violation notices, and, when necessary, other types of prosecutorial measures including civil and criminal penalties to achieve compliance.
- Continue to examine records of railroads to ensure that duplicate payments of freight charges are timely refunded to shippers.
- Expeditiously process and decide approximately 7,250 short-term motor carrier licensing applications maintaining turnaround times of one day for emergency temporary authority and 20 days for temporary authority.
- Continue to provide interpretations on transportation-related issues.
- Monitor carriers' insurance compliance and handle 18,600 insurance assignments; prepare and issue 40,000 orders relating to the revocation or reinstatement of operating authority.
- Provide information to the public concerning insurance rules and the Commission's revocation process.
- Expeditiously process and recommend decisions on carrier applications for authority to self-insure.
- Conduct a compliance survey program with particular regard to the high-emphasis enforcement categories; continue to administratively resolve noncompliance matters, reserving in-depth investigative and enforcement resources for flagrant types of violations.
- Continue to monitor rail carriers to keep the Commission informed of levels of service provided to shippers, particularly in the Northeast.
- Coordinate rail monitoring program with other Federal and State agencies having responsibilities relative to rail operations.

- Continue to monitor rate bureaus operating under agreements approved by the Commission.

BENEFITS TO THE PUBLIC

The transportation statutes, related requirements, and Commission regulations impact on all facets of our Nation's commercial and economic environment. The monitoring and enforcement programs are a means of ensuring that reasonable compliance with the law is maintained in the transportation industry, so that all affected entities can vigorously and fairly compete. The insurance monitoring function is especially important to identify carriers without appropriate bodily injury, property damage, and cargo insurance and to prohibit them from operating over the highways until proper insurance coverage is obtained. The prevention of uninsured operations reduces the risk of uncompensated loss to the public.

The presence of OCCA's staff at strategic field locations provides the public with an opportunity to contact the Commission at the local level. Complaint handling activities provide consumers and carriers with an avenue for bringing matters of concern to the attention of the Commission. The public also benefits from the services provided by the field staff in the licensing process for short-term motor carrier operating authority. The expeditious processing of temporary and emergency temporary operating authority applications ensures that timely transportation services are available to the public.

WORKLOAD

There were a few notable events which affected workload in FY 1989. One significant event was the redefinition and reexamination of the fitness function. Historically, the fitness function related to field reviews of permanent authority applicants' compliance with economic regulations. In more recent years, some features of the economic review have continued, but principally the checks have been geared to determining applicants' safety ratings through the Department of Transportation's (DOT) data files with formal notification provided to the Commission by memorandum. The Commission's new licensing procedure has resulted in the transfer of the safety rating review from the field to OCCA's headquarters. Under the new procedure, OCCA provides the Office of Proceedings with the safety ratings of all applicants. OCCA obtains the ratings from DOT personnel or through that Department's data system.

Motor preliminary and final investigation workload increased over the past two years. The increase in motor preliminary investigations resulted from management's preference for this type of assignment over compliance surveys in order to focus on allegations of specific items rather than an overall review of a carrier's operation. Regarding final investigations, concentrated efforts were applied to matters such as owner-operator abuse, duplicate payments, and overcharge infractions which resulted in increased assignments.

Rail functions in FY 1989 were generally on target with projections. A major portion of the rail compliance activity concerned the in-depth monitoring activity of rail operations in the Northeast, mainly on the Guilford System lines and the Delaware and Hudson. Also, the Office became involved in ensuring continuation of Amtrak Service over alternate rail lines when disabilities occurred on the regular route. Additionally, OCCA's rail activities in FY 1989 centered on changes in the operational characteristics and realignment of services by carriers resulting from consolidations. These activities will continue in FY 1990 and FY 1991 in order to keep the Commission informed of rail operations.

Licensing - Applications by motor carriers for emergency temporary (ETA) and temporary authority (TA) are received, processed, and decided by a Regional Motor Carrier Board in the three regional offices. The ETA applications are decided in approximately 1 day from the time the applications are received, and TA applications are decided in approximately 20 days (including a 15-day publication and comment period) from the date of receipt. ETA and TA applications have increased over the past several years; and the increase is, in part, attributable to the frequency with which applicants apply for common and contract authority at the same time. OCCA collected over $600,000 in ETA and TA application fees in FY 1989. While there have been increases in the ETA and TA workload over the last several years, it is expected that the volume will stabilize at approximately 7,250 applications for FY 1990 and FY 1991.

Inquiries - An essential service provided by the Commission is the accessibility of staff at headquarters and field offices to provide information and assistance to the Congress, to carriers and shippers, and to the general public on any transportation-related matter. The FY 1989 workload of 128,650 inquiries was a moderate increase over the previous year, and the workload is expected to continue in FY 1990 and FY 1991 at this same level. The increase was due, in part, to inquiries concerning operating authority matters and questions involving leasing, insurance, and broker matters.

Fitness - The safety fitness of an applicant is carefully reviewed by the Commission at the outset of the application review process. Under procedures adopted in December 1988, OCCA's headquarters staff provides the safety rating for each applicant to the Office of Proceedings staff delegated the responsibility by the Commission for processing the applications for decision. Safety ratings are obtained from DOT's data system when the applications are received by the Commission. The new procedure eliminates the field staff's previous responsibility of notifying the Commission, by memorandum, when carrier applicants had unsatisfactory safety ratings. At the same time, the field staff's review of permanent authority applications, relative to the applicants' compliance with the economic regulations, has been refocused and limited to those applications that indicate that the parties have previously held and used operating authority allegedly for unlawful purposes. This change significantly increases the workload statistics over previous years because the Commission is provided with the safety ratings of all carriers, not only the unsatisfactory ratings. The new procedure also reduces staff-year usage while greatly increasing the number of safety ratings obtained and provided to the Office of Proceedings. Therefore, the FY 1989 workload, in part, and the figures for FY 1990 and FY 1991 reflect the new arrangement.

Complaints - This function involves the handling of informal complaints reported to OCCA from all sources. In most instances, the complaints are resolved expeditiously and amicably through the complaint handling process. While complaints cover the transportation spectrum, most relate to freight and household goods carriers. Loss and damage of goods and overcharges are the leading causes of complaints. Additionally, complaints are frequently received from owner-operators regarding allegations that carriers fail to pay timely or accurately for line-haul transportation service performed by the owner-operators. Complaints are also received from truckers against brokers for freight charge settlement delays. In FY 1989, the staff handled 9,900 complaints and assisted complainants in recovering nearly $1 million.

Insurance - The work under this function originates in the regional offices on a daily basis in the form of computer printouts that list the names of carriers whose insurance coverage will expire within 16 days. The staff contacts the carriers to inquire if evidence of replacement insurance coverage will be forthcoming. Contact may also be made with the insurance company replacing the coverage to expedite the filing. Where replacement coverage is not timely received and uninsured operations appear likely, OCCA seeks injunctive relief to prevent such activity. It is expected that the workload in FY 1990 and FY 1991 will be approximately the same as in FY 1989. Over the past few years, insurance assignments have been handled with fewer staff resources than originally projected. The increased proficiency in handling this function stems from the staff's concentrated effort to handle the assignments, when possible, by telephone rather than by time-consuming, on-site visits to carriers' offices and by expediting the telephone discussions through uniform inquiry forms which streamlined the procedures followed by the staff to develop pertinent information. Methods were also adopted that reduced the number of telephone calls to each carrier. Also contributing to the increased proficiency is the use of part-time students working under special government-college work programs.

Compliance Surveys - This function is the principal method of overseeing the surface transportation industry's compliance with the transportation statutes and the Commission's regulations. In many instances, the compliance survey visits are the only direct contact carrier officials will ever have with the Commission and provide the opportunity to raise questions and issues about the statutory requirements and Commission rules and regulations. This function also has the salutary effect of promoting carrier compliance, but occasionally serious non-compliance is discovered that requires complete investigation. The program includes monitoring the services provided by railroads, particularly where the Commission has issued emergency orders authorizing a substitute carrier to operate over the lines of another railroad unable to provide service. Compliance surveys are also conducted to determine whether the operations of rate bureaus and member carriers adhere to the terms of the agreements approved by the Commission for collective ratemaking purposes. The FY 1990 compliance survey program will be maintained at the FY 1989 level and reduced in FY 1991 commensurate with staffing reductions.

Special Projects - This function relates to information on many types of transportation special projects which can arise from requests for data from the Congress, the Commission, another ICC office, GAO, or from OCCA's management. Some special projects are planned in advance as part of an annual work program, and others are initiated as the need develops during the year. In FY 1989, rail projects included a study of alternate commuter service available at Illinois and Indiana locations in the event of service disruption by a major rail carrier and a continuing project of examining rail service in the Northeast. Significant motor projects included a review of household goods carriers' methods of pricing binding estimates, services provided to handicapped passengers by motor bus carriers, and several insurance-related projects. Fewer special projects will be undertaken in this discretionary activity in FY 1990 and FY 1991 to shift resources to higher priority activities.

Rate Bureau Monitoring - Collective ratemaking meetings of rate bureaus must be conducted in compliance with the requirements of the statutes and must conform with the limitations imposed by the Commission's regulations. On an unannounced basis, the staff attends and observes these meetings to determine if the proceedings comply with the regulations. The level of effort for this function is expected to increase slightly after 1989 in keeping with the Commission's interest in this area.

Preliminary Investigations - This function provides regional management with an alternative of making either compliance survey or final investigation assignments. It provides a means of conserving resources, where possible, since preliminary investigations are less time consuming than the other functions. Compliance surveys generally involve reviewing many aspects of a carrier's operation, while final investigations are detailed examinations of a particular set of circumstances alleged to be in violation of the law. Preliminary investigations are cursory probes of specific circumstances to determine if noncompliance exists. If violations are discovered in the preliminary investigation stage, the files are either closed, following informal handling with the violators to correct the abuses, or, if appropriate, subject to complete and detailed (final) investigations with the possibility of enforcement action, depending on the facts developed. Preliminary investigations exceeded expectations in FY 1989. The increase in motor preliminary investigations workload was handled without incurring resources beyond those initially projected. The productivity improvement is principally attributable to the supervisory attention given to staff assignments, well-planned itineraries designed to maximize the staff's available time, and the flexibility to quickly close preliminary investigation files if the alleged incidents reviewed are not violative practices. Additionally, a sizeable portion of preliminary investigations were related to lapses of insurance by carriers which were quickly examined. Motor preliminary investigations in FY 1990 and FY 1991 will be proportionately lower than in FY 1989 but in line with resources requested for each year.

Final Investigations - This activity involves the detailed and comprehensive investigation of alleged violations of the transportation statutes or the Commission's rules and regulations. The three basic elements present in all final investigations are documentation, interviewing, and report writing. In FY 1989, over 90 percent of the final investigations were in the high-emphasis categories established by the Commission. The same concentration on the high-emphasis categories is planned for FY 1990 and FY 1991. Insurance noncompliance is a high-emphasis enforcement item because of the potential financial threat to the public if carriers operate without proper liability coverage, cause accidents, and do not have the financial resources to settle claims. Final investigations of insurance violations contribute significantly to the total number of accomplishments shown for this function, but generally these investigations are not as time consuming as investigations of other high-emphasis category subjects. For example, rail investigations involving allegations of unlawful abandonment, car distribution practices, or antitrust can be very time consuming. Likewise, investigations of owner-operator abuses, overcharge practices, lumping, duplicate payment issues, and other similar matters are time consuming and require considerable investigative resources.

The final investigation function is a discretionary activity which can be excelerated or curtailed to meet staffing allocations. Final investigations in FY 1990 and FY 1991 will be in high priority areas and will be a mix of time-consuming and less time-consuming investigations.

Litigation - This function involves the handling of cases by attorneys. Over 95 percent of the FY 1989 cases were in the high-emphasis categories. The number of litigated cases exceeds the number of final investigations because most insurance cases are developed by the regional office staff through telephone conversations with the carriers. In these types of situations, where carriers agree not to operate without insurance and willingly sign nonjudicial consent agreements to that effect, final investigations are not necessary, and the cases are processed directly to the attorneys for the execution of consent agreements. The latter cases are not time consuming and frequently require only cursory review by staff attorneys. FY 1990 and FY 1991 staffing requests reflect an expected decrease in workload in this activity.

In addition to insurance, continued emphasis will be placed on such matters as overcharges, duplicate payments, claims regulations, owner-operator abuses, household goods regulations, unauthorized passenger operations, unauthorized rail abandonments, and noncompliance with other types of rail statutory requirements. Where actions are necessary, the preferred remedies will be consent agreements, injunctions, civil forfeitures, and other civil and criminal sanctions.

Outreach - This function involves the staff's availability to participate in transportation-related meetings, to visit truck stops to provide truckers with information and answer questions concerning the Commission's rules and regulations, and to accept speaking engagements in local communities.

Emergency Preparedness/NDER - This function involves the Emergency Preparedness Program of the Federal Government as vested in the various civil agencies and administered by the Federal Emergency Management Agency (FEMA). It consists of two elements: (1) authority given to the Commission, under the Defense Protection Act of 1950 and Executive Orders, to develop emergency plans for the operational aspects of domestic surface transportation in time of war or national emergency; and (2) the maintenance of a National Defense Executive Reserve (NDER) Program, which is a roster of carrier executives who agree to serve as standby reservists and could be brought into the Federal Government service in a declared national emergency to assist in the operation of the domestic surface transportation system. For years, the Commission's program consisted primarily of participating in meetings and exercises conducted by FEMA and maintaining the NDER roster. Other lead agencies involved in this activity have recently increased their programs and have looked to OCCA to participate in the exercises. It is expected that the high profile emergency preparedness function will continue throughout the Federal Government and will result in an escalation of activity by OCCA's staff.

Road Checks - This function involves participation with personnel of State regulatory authorities and the Department of Transportation in the inspections of trucks and buses, generally at weighing stations and resort facilities. The ICC's participation in this activity is limited to identifying regulated carriers that are not in compliance with the insurance regulations and carriers providing unauthorized passenger operations and requires minimal staff-time.

Rail Car Service - This function, once resource intensive, involves maintaining liaison with individual railroads and the industry's trade associations, particularly with respect to rail embargoes, temporary service disruptions, and other rail issues.

Interpretations - This activity relates to informal interpretations of the Interstate Commerce Act, related statutes, and the Commission's rules and regulations. Written interpretations are provided concerning the scope of operating authorities, the extent of Commission jurisdiction over certain activities, and the truth-in-leasing regulations for owner-operators.

Rulemakings/Proceedings - This function involves providing operational expertise to other offices in various types of proceedings. It also relates to proceedings in which OCCA has direct responsibility for analyzing and drafting decisions for the Commission's consideration, including motor carrier applications for self-insurance authority. There were 8 self-insurance applications received in FY 1989, down from 17 in FY 1988. The improved availability and affordability of insurance coverage are viewed as the principal reasons for the lower number of applications. This function will increase slightly in FY 1990 as several noninsurance proceedings are anticipated, with lower levels projected for FY 1991.

Revocations - This activity flows from the work performed in the field on insurance cancellations. When a carrier fails to obtain insurance by the termination date, the field, by computer entry, activates an automated revocation procedure at headquarters. The first show-cause order is issued within days of the carrier's loss of insurance, followed by a second revocation order if compliance is not obtained within 60 days of the first order. The system has the capability of providing a discontinuance order to terminate the revocation proceeding if a carrier obtains compliance by filing the appropriate certificate of insurance with the Commission. The short timeframe between the expiration of insurance coverage and the issuance of the show-cause order frequently results in discontinuance orders when carriers come into compliance with insurance requirements. As a result, the statistical data for this function are relatively high as the figures shown include all types of orders issued.

Self-Insurance Compliance/Other Insurance Related Activities - Self-insurance compliance involves monitoring the overall compliance by carriers with the terms and conditions imposed by the Commission in each grant of self-insurance authority. This includes periodic reports on claims experience and quarterly financial information. The function is performed primarily at headquarters, but field activity becomes necessary when discrepancies are noted in the reports filed by the carriers. Related activities under this function include such items as (1) verifying that insurance and surety companies that are making filings with the Commission are licensed by a State, as required by Commission rules; (2) monitoring, to the extent possible, freight forwarder compliance with the Commission's cargo insurance requirements; (3) reviewing compliance of property brokers that file trust fund agreements as substitutes for surety bonds under rules adopted by the Commission; and (4) applying verification procedures to ensure that carriers are in compliance with the security requirements.

RESOURCES

Personnel Compensation and Benefits - A total of $9,042,000 will be needed to support OCCA's 181 staff-years. Included in this amount are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - A total of $582,000 is requested for travel in FY 1991. OCCA expects to maintain at least 67 Special Agents in FY 1991. The average travel cost per Special Agent is estimated to be $7,750, for a total of $519,250. The balance of the requested funds would cover travel by the trial attorney staff, as well as travel by the regional management staff to the area offices for supervisory purposes, meetings, and other official duties. Funds would also be provided for the headquarters' staff to attend regional seminars, oversee field functions, court appearances, cross-region investigations handled directly by Headquarters' staff, and other official duties in travel status.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services.

WORKLOAD SUMMARY

	FY 1989	FY 1990	FY 1991
Motor Workload			
Emergency and Temporary Authority Applications	7,250	7,250	7,250
Inquiries	127,650	127,650	127,650
Fitness Reviews	14,750	12,900	12,900
Complaints	9,800	9,900	9,900
Insurance Assignments	18,600	18,600	18,600
Compliance Surveys	595	595	495
Special Projects	36	35	26
Rate Bureau Monitoring	37	52	52
Preliminary Investigations	1,340	1,265	1,120
Final Investigations	502	492	442
Litigation	2,131	1,862	1,700
Road Checks	540	400	400
Interpretations	221	220	220
Rulemakings/Proceedings	10	11	9
License Revocation Orders	40,450	40,000	40,000
Rail Workload			
Inquiries	1,000	1,000	1,000
Complaints	100	100	100
Compliance Surveys	35	35	15
Special Projects	7	4	4
Rate Bureau Monitoring	7	8	8
Preliminary Investigations	10	10	10
Final Investigations	8	8	8
Litigation	9	8	8
Interpretations	9	8	8
Rulemakings/Proceedings	0	2	1
Fees Collected	$608,710	$650,000	$700,000

OFFICE OF COMPLIANCE AND CONSUMER ASSISTANCE

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
Personnel Compensation and Benefits	$9,071	$9,213	$9,042
Travel	594	406	582
Contracts	0	0	0
Other Expenses	2,426	2,373	2,366
TOTAL ESTIMATES	$12,091	$11,992	$11,990

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
MOTOR			
Freight	135	128	118
Bus	18	17	17
Household Goods	18	18	17
Broker	19	19	19
Water Carrier	0	0	0
TOTAL MOTOR PROGRAM	190	182	171
RAIL			
Antitrust	1	1	1
Other	9	10	9
TOTAL RAIL PROGRAM	10	11	10
GENERAL MANAGEMENT AND ADMINISTRATION	0	0	0
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	200	193	181

OFFICE OF THE MANAGING DIRECTOR

The FY 1991 request for the Office of the Managing Director is for $4,346,000 and 68 staff-years. The Office of the Managing Director provides for the day-to-day administration of the Commission. It is responsible for the coordination of Bureau and Office programs and activities. It provides necessary administrative support services for headquarters and field staff.

The Office is comprised of four sections and the Managing Director's immediate office, which provides administrative direction to the sections and Bureaus and Offices, and fulfills the Commission's obligations under the Privacy and Freedom of Information Acts. The Personnel Office plans, develops, and implements the personnel management program for the agency. The Budget and Fiscal Office provides budget planning, financial management, and fiscal support. The Section of Administrative Services provides purchasing, housing, building maintenance, safety, security, telecommunications, and other general support services. The Section of Systems Development provides computer and word-processing support. All employees are located in Washington, D.C.

Employment in the Office has fallen from 259, prior to deregulation legislation in 1980, to the requested 68 staff-years in FY 1991, a 74-percent decrease. This reduction has been possible because of reorganizations, attrition, and increased productivity resulting from cross training, job restructuring, and other changes in providing the necessary administrative support functions.

MAJOR ACCOMPLISHMENTS IN FY 1989

- Installed 260 personal computers to replace the Commission's obsolete word-processing system and arranged familiarization and user training for over 500 employees to effectively use this equipment.

- Responded to 1,000 requests for information and statistics from ICC databases.

- Successfully completed the recompetition of the agency computer timesharing contract.

- Prepared testimony, briefing materials, and hearing records on the FY 1990 budget submission for OMB and Congress; completed the initial FY 1991 budget justification document.

- Administered the FY 1989 spending plan, monitoring staff-year usage and dollar obligations, as well as updating monthly financial projections.

- Identified and excessed Commission equipment valued at $194,000 to the General Services Administration (GSA).

- Continued emphasis on efforts to upgrade the working conditions in the building (convinced GSA to let contracts to renovate or replace portions of the heating and cooling and elevator systems).

- Reviewed the existing employee health services programs, resulting in interagency agreements with the Public Health Service to provide employee counseling services and expanded occupational health care to headquarters employees.

- Negotiated an interagency agreement with the Environmental Protection Agency to provide cross-servicing of the Commission's payroll/personnel functions.

- Responded to Privacy/Freedom of Information Act requests within an average of 10 days and was upheld on all those appealed to the General Counsel's and Chairman's Offices.

- Developed and distributed procedures implementing the Voluntary Leave Transfer Program providing for leave sharing among agency employees during periods of medical emergency.

OBJECTIVES FOR FY 1990 AND FY 1991

- Coordinate day-to-day operations of the agency, providing required administrative services in a timely fashion to support Commission programs, with emphasis on improving quality and reducing costs.

- Renegotiate collective bargaining agreements with the unions representing agency employees.

- Implement a drug enforcement and employee assistance program including employee orientation, contract negotiations for testing, and establishment of review procedures.

- Prepare and revise budget submissions for Congress and OMB; develop testimony and briefing materials for OMB and congressional hearings on appropriation requests.

- Convert current motor case status system to more current timesharing technology.
- Obtain greater efficiency from agency personal computers by establishing local area networks where practical to support Commission in-house applications.
- Transfer agency occupational health service provision to the Public Health Service under an interagency agreement.
- Develop and implement FY 1990 and FY 1991 spending plans; ensure that resource limitations are not exceeded.

BENEFITS TO THE PUBLIC

The Office serves the public interest in several ways. It guards against fraud, errors, waste, abuse, and inefficiency in the agency. This includes ensuring that all purchases and financial transactions are accurate, appropriate, and properly recorded. It determines the proper classification for positions and establishes the eligibility of applicants, ensuring that individuals are qualified for jobs and are appropriately compensated.

WORKLOAD

During FY 1989, 260 personal computers were procured and installed in offices throughout the Commission. This increased the workload of the systems and personnel staff who coordinated the changeover and the removal and disposition of obsolete word-processing equipment and arranged the training for employees in the new technology.

The drug enforcement procedures are scheduled for implementation in FY 1990. This program will impact on personnel and contracting staff as procedures for testing are developed and employees are oriented. The new agency occupational health services contract with the Public Health Service will be monitored to ensure that employee health needs are adequately provided for under the contract.

In continuing the building upgrade program begun in FY 1987, the Office has improved the working environment for Commission employees. Contracts awarded by the GSA for elevator mechanical equipment replacement throughout the building were coordinated so that work progressed with minimum disruption. The renovation or replacement of various building operating systems will continue through FY 1991.

Providing basic personnel, financial, computer, and administrative services and overseeing program operations will continue to require a relatively steady level of staff resources. This Office's provision of timely, efficient support services allows the management of the Commission's Bureaus and Offices to concentrate on effectively carrying out their program management responsibilities. The Office will continue to provide such support to the Commission and its employees.

RESOURCES

Personnel Compensation and Benefits - Included in the $3,175,000 are direct salary costs; the Government's contribution to life and health insurance, retirement, FICA, and thrift savings; incentive awards; and other pay-related expenses.

Travel - The $8,000 requested for travel will cover the costs of visits to the field offices to assist employees in using new or updated computer systems, performing personnel management functions, carrying out administrative procedures, and testifying at Merit System Protection Board hearings.

Other Expenses - This category includes the Office's allocated share of costs for office space, communications, utilities, supplies, equipment maintenance, and general support services, as well as some administrative costs for the agency as a whole.

WORKLOAD SUMMARY

General Management and Administration Workload	FY 1989	FY 1990	FY 1991
Privacy/FOIA Requests	235	225	225
Position Classification Actions	240	240	240
Staffing Actions	1,983	2,000	2,000
Pay Items	27,912	29,000	29,000
Vouchers/Invoices	5,533	5,400	5,400
Accounting Entries	37,078	38,000	38,000
Receipts Deposited	38,730	39,000	39,000
Contracts/Procurement Actions	4,943	3,400	3,400
Space and Building Services	3,499	3,200	3,200
ADP Systems Maintained	60	60	60
ADP Programs Maintained	5,500	5,500	5,500

OFFICE OF THE MANAGING DIRECTOR

RESOURCE SUMMARY

($ in thousands)

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
Personnel Compensation and Benefits	$3,138	$3,230	$3,175
Travel	2	4	8
Contracts	0	0	0
Other Expenses	1,239	1,207	1,163
TOTAL ESTIMATES	$4,379	$4,441	$4,346

STAFF-YEAR SUMMARY BY PROGRAM AND CARRIER TYPE

	FY 1989 Actuals	FY 1990 Budget Estimates	FY 1991 Budget Estimates
GENERAL MANAGEMENT AND ADMINISTRATION	74	72	68
TOTAL FULL-TIME EQUIVALENT EMPLOYMENT	74	72	68

SUMMARY OF INCREASES AND DECREASES
BY MAJOR OBJECT CLASS
(dollars in thousands)

	FY 1989 Actual Obligations	FY 1990 Budget Estimates	INCREASE/ (DECREASE)	FY 1991 Budget Estimates
Personnel compensation	$28,919	$30,145	($706)	$29,439
Personnel benefits	4,080	4,263	106	4,369
Benefits for former personnel	81	40	0	40
Travel and transportation of persons	719	517	219	736
Transportation of things	25	21	(11)	10
Rental payments to GSA	4,589	5,361	(11)	5,350
Communications and utilities	1,561	1,523	(228)	1,295
Printing and reproduction	377	410	13	423
Other services	1,747	1,501	147	1,648
Supplies and materials	431	418	0	418
Furniture and equipment	352	5	43	48
Tort claims and indemnities	92	1	0	1
Total estimates	$42,973	$44,205	($428)	$43,777

COST JUSTIFICATIONS
BY
MAJOR OBJECT CLASS

The FY 1991 decrease in object class estimates from the FY 1990 estimates is attributable primarily to lower personnel compensation costs occasioned by the decreased agency staffing level and a sizeable reduction in telecommunication costs because of the implementation of FTS 2000.

Personnel Compensation		
	FY 1990 --	$30,145,000
	FY 1991 --	29,439,000
	Decrease --	$ 706,000

This category includes basic pay for all personnel, terminal leave for personnel leaving Government service, overtime and night differential pay, and merit awards. Of the total, 97 percent is for basic pay, which includes adjustments for anticipated within-grade and merit increases and one-half of the 3.5 percent January 1991 general schedule pay raise. The decreased estimate results from the proposed reduction in staffing.

Personnel Benefits		
	FY 1990 --	$ 4,263,000
	FY 1991 --	4,369,000
	Increase --	$ 106,000

This category includes the Government's share of life and health insurance and costs for Civil Service Retirement, Federal Employees Retirement System, Thrift Savings, and FICA. The estimates also include $183,000 to cover amounts which must be paid to the Department of Labor under the Federal Employees' Compensation Act. The increase in benefit costs is directly related to higher salaries resulting from the FY 1990 pay raise, the increased cost of health insurance benefits anticipated in FY 1991, and the increase in the FICA rates and salary cap in January 1990.

Benefits for Former Personnel		
	FY 1990 --	$ 40,000
	FY 1991 --	40,000
		$ -0-

The estimates reflect a constant level of unemployment costs from FY 1990 to FY 1991 and the Commission's expectation that no severance pay costs to former employees will be incurred.

Travel and Transportation of Persons	FY 1990 --	$ 517,000
	FY 1991 --	736,000
	Increase --	$ 219,000

Travel funds will be used largely for program travel, the majority of which is performed by personnel in the Office of Compliance and Consumer Assistance. Funding is also included for local transportation costs and rental or lease of passenger vehicles used both for local travel and field site visits. The increase anticipates a return to a normal level of travel activity by OCCA field staff following reduced travel levels necessitated by the FY 1990 Gramm-Rudman-Hollings sequester.

Transportation of Things	FY 1990 --	$ 21,000
	FY 1991 --	10,000
	Decrease --	$ 11,000

These funds are for movement of office furniture and equipment, as well as employees' household goods for changes of duty station. The decrease reflects no expected changes in employee duty stations during FY 1991.

Rental Payments to GSA	FY 1990 --	$ 5,361,000
(Space Rental Costs)	FY 1991 --	5,350,000
	Decrease --	$ 11,000

Payments are made to the General Services Administration for rental of office space and the costs of certain utilities. While agency space requirements decrease with the reduced staffing level, a GSA-proposed 4.5 percent rate increase in FY 1991 offsets much of the savings.

Communications and Utilities	FY 1990 --	$ 1,523,000
	FY 1991 --	1,295,000
	Decrease --	$ 228,000

The FY 1991 costs included in this category are for local and long distance telephone service, mail, and copier rentals. The decrease results from expected savings attendant upon GSA's implementation of FTS 2000.

Printing and Reproduction	FY 1990 --	$ 410,000
	FY 1991 --	423,000
	Increase --	$ 13,000

This includes the cost of printing services provided by the Government Printing Office and by private contractors. Another major cost item is the publication of the Commission's rulemakings and rail notices and decisions in the Federal Register. The costs of both are expected to rise slightly in FY 1991.

Other Services

FY 1990 -- $ 1,501,000
FY 1991 -- 1,648,000
Increase -- $ 147,000

This category includes costs of computer timesharing services, non-ADP service contracts, training, and a variety of maintenance and miscellaneous services. Increased costs of program-related contracts in the Bureaus and Offices and provision for a normal level of training account for the increase.

Supplies and Materials

FY 1990 -- $ 418,000
FY 1991 -- 418,000
$ -0-

This category includes costs for periodicals and other publications, as well as office, computer, copier, and word-processing supplies.

Furniture and Equipment

FY 1990 -- $ 5,000
FY 1991 -- 48,000
Increase -- $ 43,000

This increase is needed to replace obsolete or unserviceable administrative equipment and to purchase and upgrade peripheral equipment associated with networking microcomputers (printers, modems, and network boards).

Tort Claims and Indemnities

FY 1990 -- $ 1,000
FY 1991 -- 1,000
$ -0-

These costs are for indemnities for destruction of property, injury to persons or property, and payments for other losses.

PAYMENTS FOR DIRECTED RAIL SERVICE

If a railroad ceases operations due to a lack of cash, a court order, or abandonment not authorized by the Interstate Commerce Commission, the Commission is authorized to direct other railroads to provide service on the lines of the railroad which ceased operations. The directed carrier may be reimbursed for losses incurred and paid 6 percent of gross revenues on the service performed. This authority is limited to an initial 60-day period; the Commission may extend this period for up to an additional 180 days.

The Commission has exercised this authority under 49 U.S.C. 11125 in a few instances to direct service on lines without reimbursement by the Federal Government. On June 21, 1988, the Commission authorized the New York, Susquehanna and Western Railway Corporation to provide unsubsidized and non-compensated directed service over the lines of the Delaware and Hudson Railway Company, while that company was undergoing Chapter 11 (reorganization) bankruptcy proceedings. Subsequently, the Commission extended the directed service order to the statutory maximum which expired February 13, 1989. Finding at that time that an emergency situation having a substantial adverse effect on a substantial region of the United States continued to exist, the Commission issued a 30-day emergency order under 49 U.S.C. 11123 authorizing service to continue until March 15, 1989. After the required hearing, the Commission certified that a transportation emergency continued to exist and extended the emergency order for one year, through March 16, 1990. Additionally, because of the adverse cash position of the Chicago, Missouri and Western Railway Company (CMW), the Commission issued a service order on October 16, 1989, authorizing the St. Louis Southwestern Railway Company (SSW) to operate, without Federal compensation or subsidy, the CMW's lines between East St. Louis, Illinois, and Chicago, Illinois. The line was subsequently sold to Rio Grande Industries, Inc. The CMW's line between Cockrell, Illinois, and Kansas City, Missouri, and between Roodhouse and Tolson, Illinois, was also threatened with the loss of service because of the carrier's cash position. To alleviate the problem, the Commission issued a service order on November 3, 1989, temporarily authorizing the Atchison, Topeka and Santa Fe Railway Company (ATSF) to operate the lines without Federal compensation or subsidy. The CMW is in the process of selling this line.

The last significant instance of reimbursed directed rail service occurred between October 5, 1979, and March 23, 1980, when the Kansas City Terminal Railway Company (KCT) provided service over the lines of the Chicago, Rock Island, and Pacific Railway Company. The Congress last appropriated funds for directed service in an FY 1982 supplemental appropriation.

Since no subsidized or compensable directed rail service is anticipated, no funds are being requested for FY 1991.

INTERSTATE COMMERCE COMMISSION

PAYMENTS FOR DIRECTED RAIL SERVICE

Sources and Uses of Funds
(dollars in thousands)

Sources of Funds	FY 1989	FY 1990	FY 1991
Unobligated Balance Available, Beginning of Year	$ -0-	$ -0-	$ -0-
FY 1991 Budget Request	-0-	-0-	-0-
Total Funds Available	$ -0-	$ -0-	$ -0-